

Green Procurement Guidelines

-- Supplementary Volume --

10th Edition

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CITIZEN MACHINERY Co., Ltd.

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1. List of Documents to be Submitted and Method of Answering Concerning Green Parts

Please submit necessary documents and your answer according to the following table.

1. Submission of documents

Check the contents of documents for submission and enter necessary data. Submit the necessary documents to our Green Procurement Desk.

Documents to be submitted	Supplier's reply and method for completing the document
Chemical Substance Management Standards Rank	
Non-use Guarantee Statement for Prohibited Substances Form 1 Rank 1	<ul style="list-style-type: none"> - Check the contents of Form 1, and submit it without fail. ■ Enter the company name, supplier code, address and name of representative, and impress the company seal.
Non-inclusion Guarantee Statement for Conditionally Prohibited Substances (RoHS Directive substances) Form 2 Rank 2	<ul style="list-style-type: none"> - Check the contents of Form 2, and submit it without fail. ■ Enter the company name, supplier code, address and name of representative, and impress the company seal.

Download the Forms 1 and 2 from our web site.

2. Answering by means of electronic data Access to our Environmental Management System and input necessary information.

(If you input necessary information in the Environmental Management System, you do not need to submit electronic data to us.)

Answer	Supplier's method of answering
Chemical Substance Management Standards Rank	
Result of Survey on Chemical Substances Contained Rank 3	<ul style="list-style-type: none"> • You will receive a survey request from our company. Please summarize the survey results to the chemSHERPA-AI format and respond. ■ Please download the chemSHERPA-AI format from the chemSHERPA website to respond. chemSHERPA HP :https://chemsherpa.net/chemSHERPA/english/tool/ ■ When you submit your answer, you may be requested to submit also some analysis data, MSDS (Product Safety Data Sheet) and mill sheet (attachment to certify materials of steel) for certain parts.

Form 1

Ver. 11 18/10/15

10/15/2018 (m/d/y)

Messrs. Citizen Machinery Co., Ltd.

Enter the date when this document is submitted.

Non-use Guarantee Statement for Prohibited Substances

Company name:XXX Trading Co., Ltd.

Supplier code:0000A

Address: 00-0 Miyota, Kitasaku

Name of representative: John Smith

Enter the company name, supplier code, address and name of representative.
Supplier code is a 4-digit or 5-digit number which is specified by us.

Be sure to impress the company seal.

[Company seal]

We hereby guarantee that all products and parts, raw materials, packing materials (excluding those used for protection during transportation) and accessories that are delivered by this company (including our subsidiaries or affiliate companies) directly or through a third part to Citizen Machinery Co., Ltd., do not contain the chemical substances listed below (a prohibited substance is considered not to be used if the amount of substance in use is smaller than the threshold value as specified by the relevant laws and regulations).

**Chemical Substances Management Standards: Rank 1
Prohibited Substances 42 Substance Groups**

- | | |
|---|--|
| 1) Aldrin | 22) gamma-Hexachlorocyclohexane
(also known as Lindane) |
| 2) Endrin | 23) Chlordecone |
| 3) Chlordanes | 24) Hexabromobiphenyl |
| 4) Dieldrin | 25) Tetrabromodiphenyl ether |
| 5) Hexachlorobenzene | 26) Pentabromodiphenyl ether |
| 6) DDT | 27) Hexabromodiphenyl ether |
| 7) N,N'-Ditolyl-p-phenylenediamine | 28) Heptabromodiphenyl ether |
| 8) 2,4,6-Tri-tert-butylphenol | 29) Endosulfan |
| 9) Toxaphene | 30) Hexabromocyclododecane (HBCD) |
| 10) Mirex | 31) Pentachlorophenol and its salts and esters |
| 11) Bis(tributyltin) oxide | 32) Polychlorinated linear paraffin(having 10 to 13 carbon atoms and containing more than 48% of chlorine by total weight) |
| 12) Polychlorinated biphenyls (PCB) | 33) Decabromodiphenyl ether |
| 13) Polychloronaphthalenes (with 2 or more chlorine atoms) | 34) Asbestos |
| 14) Dicolol | 35) Bis(chloromethyl) ether |
| 15) Hexachlorobuta-1,3-diene | 36) 4-Aminodiphenyl |
| 16) 2-(2H-1,2,3-Benzotriazole-2-yl)-4,6-di-tert-butylphenol | 37) 4-Nitrodiphenyl and its salts |
| 17) Perfluoro (octane-1-sulfonic acid)(PFOS) or its salts | 38) Benzidine and its salts |
| 18) Perfluoro (octane-1-sulfonyl) = fluoride (PFOSF) | 39) beta-Naphthylamine and its salts |
| 19) Pentachlorobenzene | 40) Yellow phosphorous |
| 20) alpha-Hexachlorocyclohexane | 41) Benzene adhesive (greater than 5% benzene) |
| 21) beta-Hexachlorocyclohexane | 42) Ozone depleting substances |

1-1-1 Data concerning the green parts for Form 1

Substances for Which Inclusion is prohibited under Chemical Substance Control Standard Rank 1.

Relevant legislation:

* The Act on the Evaluation of Chemical Substances and Regulation of Their Manufacture, etc. (hereafter, the "Chemical Substances Control Law") Class 1 Specific Chemical Substances

* Industrial Safety and Health Law, Substances Prohibited for Manufacture

* The Law Concerning the Protection of the Ozone Layer Through the Control of Specified Substances and other Measures, Specific Substances (excluding Annex C-I of the Montreal Protocol)

Articles that contain any of the following substance groups cannot be purchased.

	Chemical substances	CAS No.	Primary legislation	Primary environmental effects	Primary applications
1	Aldrin	309-00-2	(*1)	Persistence, high accumulability	Insecticides
2	Endrin	72-20-8	As above	As above	Insecticides
3	Chlordanes		As above	As above	Termite disinfectants etc.
4	Dieldrin	60-57-1	As above	As above	Insecticides
5	Hexachlorobenzene	118-74-1	As above	As above	Raw material for insecticides etc
6	DDT	50-29-3	As above	As above	Insecticides
7	N,N'-Ditolyl-p-phenylenediamine		As above	As above	Antioxidants for rubber, styrene-butadiene rubber
8	2,4,6-Tri-tert-butylphenol	732-26-3	As above	As above	Antioxidants and other additives (limited to lubricating oils and fuel oils) , lubricating oil
9	Toxaphene	8001-35-2	As above	As above	Insecticides, mite control agents (in agricultural and livestock farming applications)
10	Mirex	2385-85-5	As above	As above	Flame retardants for resins, paints, paper, electrical products etc., insecticide, ant repellent
11	Bis(tributyltin) oxide	56-35-9	As above	As above	Antifouling agent for fishing nets, and boat hulls etc.
12	Polychlorinated biphenyls (PCB)		As above	As above	Insulating oils etc.
13	Polychloronaphthalenes (with 2 or more chlorine atoms)		As above	As above	Machine oils etc.
14	Dicohol	115-32-2	As above	As above	Mite preventative agents
15	Hexachlorobuta-1,3-diene	87-68-3	As above	As above	Solvents
16	2-(2H-1,2,3-Benzotriazole-2-yl)-4,6-di-tert-butylphenol	3846-71-7	As above	As above	UV light absorbents
17	Perfluoro (octane-1-sulfonic acid)(PFOS) or its salts		As above	As above	Water and oil repellants, surfactants
18	Perfluoro (octane-1-sulfonyl) = fluoride (PFOSF)	307-35-7	As above	As above	PFOS raw material
19	Pentachlorobenzene	608-93-5	As above	As above	Agricultural chemicals, by-products
20	alpha-Hexachlorocyclohexane	319-84-6	As above	As above	Lindane by-product
21	beta-Hexachlorocyclohexane	319-85-7	As above	As above	Lindane by-product
22	gamma-Hexachlorocyclohexane (also known as Lindane)	58-89-9	As above	As above	Agricultural chemicals, insecticides
23	Chlordecone	143-50-0	As above	As above	As above

	Chemical substances	CAS No.	Primary legislation	Primary environmental effects	Primary applications
24	Hexabromobiphenyl	36355-01-8	As above	As above	Flame retardants
25	Tetrabromodiphenyl ether		As above	As above	As above
26	Pentabromodiphenyl ether		As above	As above	As above
27	Hexabromodiphenyl ether		As above	As above	As above
28	Heptabromodiphenyl ether		As above	As above	As above
29	Endosulfan	115-29-7	As above	As above	Agricultural chemicals
30	Hexabromocyclododecane (HBCD)	3194-55-6	As above	As above	Flame retardant treatment for textiles, flame retardant beads for EPS, flame-protected textiles and curtains
31	Pentachlorophenol and its salts and esters		As above	As above	Wood antiseptics, Insecticides and fungicides
32	Polychlorinated linear paraffin(having 10 to 13 carbon atoms and containing more than 48% of chlorine by total weight)		As above	As above	Flame retardants
33	Decabromodiphenyl ether		As above	As above	As above
34	Asbestos		(*2)	Carcinogenic	Insulator, filler, thermal insulation
35	Bis(chloromethyl) ether	542-88-1	As above	As above	Dyes, Pigments
36	4-Aminodiphenyl	92-67-1	As above	As above	Pigments
37	4-Nitrodiphenyl and its salts		As above	As above	Dye intermediate
38	Benzidine and its salts	92-87-5	As above	As above	Dyes, Hardener
39	beta-Naphthylamine and its salts	91-59-8	As above	As above	Dyes, Antioxidant intermediate
40	Yellow phosphorous		As above	Flammability, acute toxicity	Matches
41	Benzene adhesive (greater than 5% benzene)		As above	Carcinogenic	Rubber adhesive
42	Ozone depleting substances (*3)		Ozone Layer Protection Law	Ozone layer destruction	Refrigerants, foaming agents, extinguishing agents

(*1) Chemical Substances Control Law

It is known that Class I specific chemical substances are produced as a by-product in the manufacturing process. In doing so, please comply with the standards presented by administrative agencies in accordance with the principle of BAT (Best Available Technology).

(*2) Industrial Safety and Health Law

(*3) Ozone depleting substances listed in the Montreal Protocol.

1-2 Example of Filling Out Form 2 Non-inclusion Guarantee Statement for Conditionally Contained Substances (RoHS Directive Substances)

Form 2

Ver. 12 2018/10/15

10/15/2018 (m/d/y)

Messrs. Citizen Machinery Co., Ltd.

Enter the date when this document is submitted.

Non-inclusion Guarantee Statement for Conditionally Prohibited Substances (RoHS Directive substances)

Company name:XXX Trading Co., Ltd.
 Supplier code:0000A
 Address:00-0 Miyota, Kitasaku
 Name of representative: John Smith

Enter the company name, supplier code, address and name of representative. Supplier code is a 4-digit or 5-digit number which is specified by us.

Be sure to impress the company seal.

[Company seal]

We hereby guarantee that all products and parts, raw materials, packing materials (excluding those used for protection during transportation) and accessories that are delivered by this company (including our subsidiaries or affiliate companies) directly or through a third party to Citizen Machinery Co., Ltd., do not contain the following substances, specified in the “Citizen Machinery Green Procurement Guidelines”, regardless of whether the inclusion is intentional or not. (This excludes those substances that are exempt from application. Also, a prohibited substance is considered not to be used if the amount of substance in use is smaller than the threshold value. For details, refer to Item 2 of the Green Procurement Guidelines, Supplementary Volume.)

Chemical Substance Management Standards: Rank 2
 Conditionally prohibited substances (RoHS Directive substances) 6 substances

- | | |
|----------------------------------|--|
| 1) Cadmium and its compounds | 6) PBDEs |
| 2) Hexavalent chromium compounds | 7) (*1) Di (2-ethylhexyl) phthalate DEHP |
| 3) Lead and its compounds | 8) (*1) Butyl bezy phthalate BBP |
| 4) Mercury and its compounds | 9) (*1) Dibutyl phthalate DBP |
| 5) PBBs | 10) (*1) Diisobutyl phthalate DIBP |

(*1) Substances containing 7) to 10) will be prohibited on and after July 22, 2019, however CITIZEN MACHINERY will implement prohibition of contain in advance.

1-2-1 Data concerning the green parts for Form 2

Substances for Which Inclusion is restricted under Chemical Substance Control Standard Rank 2.

Relevant legislation: Directive 2011/65/EU (RoHS) Annex II, Annex III, Annex IV

However, Annex II is subject to revision directive 2015/863 / EU.

	Chemical substances	Threshold value	Primary environmental effects	Primary applications
1	Cadmium and its compounds	0.01%	Kidney dysfunction Reproductive defects Carcinogenic	Pigments, anti-rust treatments, batteries
2	Hexavalent chromium compounds	0.1%	Carcinogenic	Pigments, paints, inks, catalysts
3	Lead and its compounds	0.1%	Central nervous system dysfunction Carcinogenic	Rubber curing agents, pigments, solder, plating
4	Mercury and its compounds	0.1%	Brain defects Mental disorders	Luminescence materials, electrical contacts
5	PBBs	0.1%	Bioaccumulative Production of Dioxins during combustion	Flame retardant
6	PBDEs	0.1%	Bioaccumulative Production of Dioxins during combustion	Flame retardant
7	Di (2-ethylhexyl) phthalate DEHP	0.1%	Serious influential anxiety to environment Reproductive toxicity	Plasticizers for resin, Paints, pigments, adhesives, lubricating oil additives
8	Butyl bezy phthalate BBP	0.1%	As above	As above
9	Dibutyl phthalate DBP	0.1%	As above	As above
10	Diisobutyl phthalate DIBP	0.1%	As above	As above

- Regardless of whether it is intentional or not, content rate can be kept below the threshold value.
- Applications exempted from the restriction are listed in Annex III and Annex IV of the RoHS directive.
- All provisions of RoHS Directive should be interpreted based on original texts of the Directive.
(For the RoHS Directive, refer to the following URL.)

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2011:174:0088:0110:en:PDF>

1-3 Survey Concerning Contained Substances

1-3-1 Sequence of survey

- 1) A request for survey will be sent to your registered e-mail address from our Environmental Management System.
- 2) You access to the system to check contents of the survey (parts to be surveyed).
- 3) Download the chemSHERPA-AI (Data entry support tool for articles) from the chemSHERPA website.(*1)
- 4) You implement the survey on the parts you are requested to check and record the results on the chemSHERPA-AI format.
- 5) You send your answer by inputting your survey results in the Environmental Management System (which means to upload the completed chemSHERPA-AI format).

Environmental Management System: <https://prochemist.nec.co.jp/ProChemistAS/>

Use the user ID which we advised to you.

To be used until June 31, 2017.

For examination requests through chemSHERPA-AI, examination responses should be performed according to our company's separate instructions.

When you do not use Internet or have no e-mail environment, please contact our Green Procurement Desk.

1-3-2 Notes for answering your survey results

- When preparing your answer, record all materials (raw materials), substances contained in the materials and types and weights of all contained substances for each part.
- In case of a composite part (for example, a product produced by combining steel, nonferrous material, plastics, rubber, adhesive, etc.), break down the product to component parts, and record all materials (raw materials) and types and weights of all contained substances for each such component part.

(*1) The compressed file downloaded from “chemSHERPA-AI Data entry support tool for articles” on the chemSHERPA website contains the following files when it is expanded:

- “chemSHERPA_Operation manual for Articles(Ver1.2).pdf”
- “chemSHERPA_Data entry manual for Article(Ver1.2).pdf”
- “IAA.zip” (expand this file in order to use it)

chemSHERPA web site: <https://chemsherpa.net/chemSHERPA/english/tool/>

1-3-3 Data necessary for work

Refer to (*1) of 1-3-2 above.

**2. List of Documents to be Submitted and
Method of Answering Concerning Green Suppliers**

Check the contents of documents for submission and enter the necessary data. Submit the necessary documents to our Green Procurement Desk.

Documents to be submitted	Supplier's reply and method for completing the document Chemical substance management standards
Chemical substance management standards Rank	
Survey Report on Environmental Activity through Green Procurement Form 5	<ul style="list-style-type: none"> - Check the contents of Form 5 and submit it without fail. ■ Check <input checked="" type="checkbox"/> the applicable item among 1) to 3) in Form 5 "Survey Report on Environmental Activity through Green Procurement". Complete the document by entering the necessary information, company name, supplier code, address and name of representative and impressing the company seal.
Rank 4	

Form 5

Ver. 6 15/04/01

Enter the date when this document is submitted.

04/01/2015 (m/d/y)

Messrs. Citizen Machinery Co., Ltd.

Survey Report on Environmental Activity through Green Procurement

We are pleased to report to you our environmental activities as follows.

Enter the company name, supplier code, address and name of representative.
Supplier code is a 4-digit number which is specified by us.

Company name:XXX Trading Co., Ltd.

Supplier code:0000A

Address:00-0 Miyota, Kitasaku

Name of representative: John Smith

Check the applicable item(s).

Be sure to impress the company seal.

[Company seal]

1. Applicable controlled hazardous substances

- We are ISO14001 certified.
Date certified _____ Certifying body _____ Certificate No. _____
- We are scheduled for ISO14001 certification.
Date of examination _____
- We have established another environmental system.
Date certified _____ Certifying body _____ Certificate No. _____
- We are scheduled to establish another environmental system.
Name of scheduled system _____ Scheduled date of establishment _____
- We have completed our own system.
 - We have an environmental policy and an action plan.
 - We have a steering system.
 - Our top management is committed.
 - We abide by the laws and regulations concerning the environment.

Check the applicable item(s).

2. Non-use of hazardous substances in production processes

Answer to the following questions, referring to Attachment [5. Data concerning the green supplier for Form 5].

- No ozone depleting substances or organochlorine cleaning agents are used in production processes.
- Although ozone depleting substances and organochlorine cleaning agents are used in production processes, we have a plan to abolish their use completely.
Name of substance used _____ Date to abolish completely _____
- We are a dealer/trading company and have no production process.

3. Information disclosure

- We are prepared to disclose information on chemical substances contained in products.

Check here when you can disclose the information.

2-1-1 Data concerning the green supplier for Form 5

Substances whose use in production processes is prohibited in Item 2 of Form 5 “Survey Report on Environmental Activity through Green Procurement”

Rank 4: Substances for which uses in manufacturing processes are to be prohibited (*1)

	Chemical substances	Primary legislation	Primary environmental effects	Primary applications
1	Ozone depleting substances (*2)	Ozone Layer Protection Law	Ozone depletion	Detergents and refrigerants
2	Organochlorine detergents (*3)	Soil Contamination Countermeasures Law	Soil contamination	Detergents

(*1) Except being used only in a hermetically sealed state (e.g. cooling medium in chillers).

(*2) Ozone depleting substances prohibited for use are in manufacturing processes in accordance with Montreal Protocol.

(*3) Organochlorine detergents prohibited for use in manufacturing processes are as follows;

chloroethylene, carbon tetrachloride, 1,2-dichloroethane, 1,1-dichloroethylene, cis-1,2-dichloroethylene, 1,3-dichloropropene, dichloromethane, tetrachloroethylene, 1,1,1-trichloroethane, 1,1,2-trichloroethane, trichloroethylene,

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