



Toshiba Carrier Green Procurement Guidelines (Ver.1.2)

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<Appendix 1>

Toshiba Carrier List of Environment-Related Substances Rank A: Prohibited substances

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Toshiba Carrier List of Environment-Related Substances Rank B: Managed substances

Reference materials

URL https://www.toshiba-carrier.co.jp/company/procure_green.htm

Attachment 1: Specifications of parts compliant with the EU RoHS Directive

Form 1: Agreement on non-containing specific hazardous substances

Form 2: Supplier's Check Sheet for the Evaluation of Environmental Conservation

Form 3: Supplier's Checklist for RoHS Internal Audit

Form 4: RoHS compliant action item checklist (Toshiba Carrier version)

Form 5: Declaration of Use/Non-use of specified chemical substances

1. Foreword

Toshiba Carrier's business processes and products to be sold we aim to procure materials that contribute to reducing the environmental impact on all the components that make up these products. This guideline shows Toshiba Carrier Co., Ltd.'s basic concept and green procurement standards regarding delivered products such as products, components, and auxiliary materials, and promotes global environmental conservation activities through green procurement activities together with business partners. Please refer to the Appendix table for Toshiba Carrier List of Environment-Related Substances.

2. Requests to Suppliers

To promote green procurement, Toshiba Carrier requests suppliers, our business partners, to positively engage in the "promotion of environmental protection by suppliers," "supply of products, parts and components, materials, etc. with minimal environmental impact," "conclusion of agreements for securing environmental quality of procurement items" and "cooperation in various surveys." We request suppliers to understand our requests and survey objectives and cooperate with us. We also ask our suppliers to request their suppliers to understand the Guidelines and to promote activities accordingly.

2.1 Promotion of environmental conservation

We will prioritize transactions with suppliers who more actively promote environmental conservation (*1).

(1) Construction of an environmental management system

The company has constructed an environmental management system in accordance with ISO14001:2015 or equivalent and has obtained or is preparing to obtain a third-party certification.

(2) Formulation of a basic environmental policy

The company has established its own basic environmental policy that describes the company's thoughts on the environment in detail and has shared this basic policy within the company.

(3) Promotion of environmental impact reduction activities

The company is engaging activities to reduce environmental impacts that are related to "response to climate change," "response to the circular economy," and "consideration of ecosystems,".

(4) Promotion of management of chemical substances in products delivered to Toshiba Carrier

The company is conducting the following activities to promote delivery of products as well as

parts and components, etc. with minimal environmental impacts.

(a) Construction of a management system for chemical substances in supply items

The company has established response procedures in the event of non-compliance, etc. with respect to its chemical substance management regulations, etc.; has ensured that all parties concerned in the organization are aware of such procedures; and thoroughly investigates the causes and implements recurrence prevention measures.

(b) Management of chemical substances in supply items

The company is aware of the two categories, namely "Rank A (Prohibited substances)" and "Rank B (Managed substances)" (listed in the table below) defined by Toshiba Carrier for the purpose of managing chemical substances in supply items, and manages chemical substances belonging to each of these categories in accordance with Toshiba Carrier List of Environment-Related Substances . (Appendix 1, Appendix 2).

■ Two categories of chemical substance management

Category	Definition	Substances
Rank A (Prohibited Substances)	Substances whose presence is prohibited in procurement items (including packaging) in Toshiba Carrier. Substances whose use in products (including packaging) is prohibited or restricted by domestic and foreign laws and regulations.	Appendix 1
Rank B (Managed Substances)	Substances whose environmental impact should be reduced, based on their actual usage, via reduction of use and substitution, or recovery and detoxification in a closed system.	Appendix 2

2.2 Conclusion of agreements for assuring the environmental quality of supply items

In order to ensure the environmental quality of the delivered products, we request that you submit the " Agreement on non-containing specific hazardous substances " ... (Form 1).

2.3 Cooperation in surveys

To confirm the status of suppliers' initiatives concerning "2.1 Promotion of environmental conservation " above, we ask suppliers to cooperate in various surveys, including regarding the following items:

(1) Evaluation of suppliers' environmental conservation

To strengthen partnerships with suppliers that are proactively engaged in environmental conservation activities, we periodically evaluate the status of environmental conservation activities by suppliers. We determine ranks based on the response results, and we prioritize procurement from suppliers who are

rated highly. For suppliers with low ratings, Toshiba Carrier may plan remediation activities, make requests for remediation, and provide guidance and assistance. In addition, if a supplier does not make improvements according to the remediation plan despite receiving a request for remediation and the provision of guidance and assistance, we may stop transactions with said supplier. Our survey items are mainly on the following items:

<Survey items>

Situations regarding the following:

- (1) Gaining of ISO 14001 certification
- (2) Green procurement activities
- (3) Environmental protection activities
 - a) Environmental policy
 - b) Organizations and plans
 - c) Environmental aspects of the business and systems
 - d) Information disclosure and training and education
- (4) Others

(2) Surveys of chemical substances in supply items

Prior to the approval of new procurement items from suppliers and judgment as to whether existing procurement items require substitution, we conduct surveys concerning the presence of the chemical materials/substances in procurement items. The main items of the surveys are as follows:

- Confirmation of the non-use of prohibited substances via the " Declaration of Use/Non-use of specified chemical substances "---(Form5)
- Survey on the use/non-use and content of any substance of very high concern (SVHC, *2) to be a candidate for authorization under the EU REACH Regulation (chemSHERPA®, *3)
- Survey on the analysis and evaluation results

(3) Other surveys necessary to ensure "2.1 Promotion of environmental conservation " above etc.

- Supplier's Check Sheet for the Evaluation of Environmental Conservation ... (Form 2)
- Internal audit on RoHS control system

Please use it for diagnosis of the in-house management system so that you can build and maintain the management system of contained chemical substances.

We may ask you to submit a voluntary audit sheet.

Supplier's Checklist for RoHS Internal Audit... (Form 3)

RoHS compliant action item checklist (Toshiba Carrier version) ... (Form 4)

2.4 About investigation of non-inclusion of specified chemical substances in supply items

(1) About the type of survey target

A RoHS index is given to clarify the investigation target of each part. There are categories in the table below, so please refer to the categories and answer the survey.

RoHS index	Survey target
G1	For countries with EU RoHS, REACH and similar regulations
G2	The destination is Japan, for J-Moss Green target products (EU RoHS compliant)
G3	For RoHS compliant and J-Moss green compliant products (no legal restrictions)
G4	For non-RoHS parts, J-Moss orange products
G6	Parts compatible with only 6 substances (lead, mercury, cadmium, hexavalent chromium, PBB, PBDE) in European RoHS (repair parts, dedicated parts, etc.)
N9	Non-RoHS parts, non-J-Moss parts

A symbol is added after the index to indicate the necessity of analysis data.

Grant symbol	Necessity of analysis data
a	Must be attached
b	Attachment is optional

RoHS index (Example)

G1a : Items that are installed in products exported to Europe and require the attachment of analysis data

G3b : It is installed in products for Japan that do not have specific chemical substance regulations, and attachment of chemical substance analysis data is optional.

(2) Submission of "Declaration of Use/Non-use of specified chemical substances" ... (Form 5)

<1> Information on the Rank A: Prohibited substances

- Information on the use of RoHS restricted substances (including information on exempted use numbers)
- For RoHS restricted substances, we may ask you to attach analysis data, MSDS, certificates, etc.

<2> Information on the Rank B: Managed substances

- For No.B07 "Substances of Very High Concern (SVHC) under the EU REACH Regulation"
SVHC (Substance of Very High Concern for Authorization) are the substances that meets the criteria of Article 57 of the EU REACH Regulation and has been selected as a Candidate Substance for Authorization by the procedure of Article 59. Please check the following site for details.

<https://echa.europa.eu/candidate-list-table>

- Information on the use of RoHS restricted substances (including information on exempted use numbers)
- Information on Rank A (Prohibited Substances)
- Information on EU REACH SVHC

SVHC (Substance of Very High Concern for Authorization) are the substances that meets the criteria of Article 57 of the EU REACH Regulation and has been selected as a Candidate Substance for Authorization by the procedure of Article 59. Please check the following site for details.

<https://echa.europa.eu/candidate-list-table>

In case of "contained", please be sure to fill in chemSHERPA.

(3) Submission of detailed information on contained chemical substances chemSHERPA

(4) Submission of Analytical data (Limited to necessary deliverables. See 2.5 (1))

2.5 About survey response of contained chemical substances

(1) About the response method by the Web survey system

Please register your response to ProChemist (Cloud Service for Managing Chemical Substances) based on the RoHS index information.

1) Register chemSHERPA

Please fill in the necessary information and register the error-checked chemSHERPA.

Please obtain chemSHERPA from the following site.

<https://chemsherpa.net/tool>

2) Information registration of declaration of use / non-use of specified chemical substances

Please attach and register the DECDAT.txt file generated from the "Declaration data output" button on the upper right of the usage / non-use declaration sheet. Please refer to the ProChemist notice section for the use / non-use declaration.

3) Registration of information files such as analysis data (required for RoHS indexing symbol "a")

Please add "SUPAN" at the beginning of the file name.

Up to 2 attachments can be registered. If you want to attach multiple pieces of information, please reduce the number of files to 2 or less by compositing PDFs. There are no extension restrictions.

(2) How to respond by email survey

We will request the target parts to be investigated by e-mail. The procurement department will send a survey email to the person in charge.

Please reply to the chemSHERPA attached to the survey request, the output DECDAT.txt file from the declaration of use / non-use, and the analysis data.

< supplement >

Specifications of parts compliant with the EU RoHS Directive

Please satisfy the required specifications of (Attachment 1) for "RoHS compliant" described in the specifications or drawings of parts to be delivered to Toshiba Carrier Co., Ltd.

- *1: Standard items may differ depending on the supplier's business category, supply item type, necessity, etc. In addition, standard items are subject to change.
- *2: Substance of Very High Concern (SVHC). Substances that fall under the criteria defined in Article 57 of the EU REACH Regulation and that have been selected as candidate substances for authorization according to the procedure defined in Article 59 of said regulation.
- *3: A scheme for communicating information on the chemical substances contained in products; this scheme is available across the supply chain.

<Appendix 1>

Toshiba Carrier List of Environment-Related Substances Rank A: Prohibited substances

No.	Substance category	Threshold of concentration to be prohibited in supplies to Toshiba Carrier	Reference laws and regulations
A01	Asbestos	Prohibition of intentional addition	EU REACH Regulation (Annex XVII), JPN Industrial Safety and Health Law (Prohibition of Manufacturing)
A02	Certain azocolourants and azodyes (only those that may release certain amines)	0.003wt% (30 ppm) for each generated certain Amine	EU REACH Regulation (Annex XVII)
A03	Cadmium and cadmium compounds	0.01wt% (100 ppm) (*1, 2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A04	Hexavalent chromium compounds	0.1wt% (1000 ppm) (*1, 2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A05	Lead and lead compounds	0.1wt% (1000 ppm) (*1, 2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A06	Mercury and mercury compounds	0.1wt% (1000 ppm) (*1, 2)	EU RoHS Directive, EU REACH Regulation (Annex XVII), EU Packaging Directive
A07	Ozone depleting substances (CFCs, HCFCs, HBFCs, carbon tetrachloride, etc.)	Prohibition of intentional addition	Montreal Protocol, JPN Ozone Layer Protection Law
A08	Polybrominated biphenyls (PBBs)	0.1wt% (1000 ppm) (*1)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A09	Polybrominated diphenylethers (PBDEs)	Prohibition of intentional addition (only for 4-7, 10 bromine atoms), or 0.1wt% (1000 ppm) (*1)	JPN CSCL (Class 1) (*7) U.S. TSCA PBT Rules (*8) EU RoHS Directive
A10	Polychlorinated biphenyls (PCBs)	Prohibition of intentional addition	JPN CSCL (Class 1) (*7) EU POPs Regulation
A11	Polychlorinated naphthalenes (more than 1 chlorine atoms) (*3)	Prohibition of intentional addition	JPN CSCL (Class 1) (*7) EU POPs Regulation
A12	Radioactive substances	Prohibition of intentional addition	JPN Act on Prevention of Radiation Hazards due to Radioisotopes, etc. JPN Nuclear Reactor Regulation Law

No.	Substance category	Threshold of concentration to be prohibited in supplies to Toshiba Carrier	Reference laws and regulations
A13	Certain short chain chlorinated paraffins (with a carbon chain length of between 10 and 13)	Prohibition of intentional addition, or 0.1wt% (1000 ppm)	JPN CSCL (Class 1) (*7), EU POPs Regulation
A14	Tributyl tin (TBT) and triphenyl tin (TPT)	0.1wt% (1000 ppm) of tin in the part (*4)	EU REACH Regulation (Annex XVII)
A15	Tributyl tin oxide (TBTO)	Prohibition of intentional addition, or 0.1wt% (1000 ppm) of tin in the part (*4)	JPN CSCL (Class 1) (*7), EU REACH Regulation (Annex XVII)
A16	2-(2H-1,2,3-benzotriazol-2-yl)-4,6-di-tert-butylphenol (UV-320)	Prohibition of intentional addition	JPN CSCL (Class 1) (*7)
A17	Perfluoro (octane-1-sulfonic acid) (also known as PFOS) or its salt and PFOS-related compounds	-PFOS or its salt Prohibition of intentional addition, or 0.000025wt% (25 ppb) -PFOS-related compounds 0.0001wt% (1ppm)	JPN CSCL (Class 1) (*7,9), EU POPs Regulation
A18	Perfluoro (octane-1-sulfonyl) fluoride (also known as PFOSF)	Prohibition of intentional addition, or 0.1wt% (1000 ppm) (in the case of coated material, 1microgram/m ²)	JPN CSCL (Class 1) (*7), EU POPs Regulation
A19	Polychlorinated terphenyls (PCTs)	0.005wt% (50 ppm)	EU REACH Regulation (Annex XVII)
A20	Tri-substituted organostannic compounds (excluding A14 and A15)	0.1wt% (1000 ppm) of tin in the part (*4)	EU REACH Regulation (Annex XVII)
A21	Dimethyl fumarate (DMF)	0.00001wt% (0.1 ppm)	EU REACH Regulation (Annex XVII)
A22	Diocetyl tin compounds (DOT)	0.1wt% (1000 ppm) of tin in the part (*4, 5)	EU REACH Regulation (Annex XVII)
A23	Dibutyl tin compounds (DBT)	0.1wt% (1000 ppm) of tin in the part (*4, 5)	EU REACH Regulation (Annex XVII)
A24	Hexabromocyclododecane (HBCD)	Prohibition of intentional addition, or 0.0075wt% (75ppm)	JPN CSCL (Class 1) (*7), EU POPs Regulation
A25	Polycyclic aromatic hydrocarbons (PAHs) (BaP,BeP,BaA,CHR,BbFA, BjFA,BkFA,DBAhA)	0.0001wt% (1 ppm) of the plastic or rubber part (*5)	EU REACH Regulation (Annex XVII)
A26	Bis (2-ethylhexyl) phthalate (DEHP)	0.1wt% (1000 ppm) (*6)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A27	Dibutyl phthalate (DBP)	0.1wt% (1000 ppm) (*6)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
A28	Butyl benzyl phthalate (BBP)	0.1wt% (1000 ppm) (*6)	EU RoHS Directive, EU REACH Regulation (Annex XVII)

A29	Diisobutyl Phthalate (DIBP)	0.1wt% (1000 ppm) (*6)	EU RoHS Directive, EU REACH Regulation (Annex XVII)
No.	Substance category	Threshold of concentration to be prohibited in supplies to Toshiba Carrier	Reference laws and regulations
A30	Phenol, isopropylated phosphate (PIP (3:1))	Prohibition of intentional addition	U.S. TSCA PBT Rules (* 8)
A31	Perfluorooctanoic acid (PFOA), its salts and related compounds	1. PFOA and its salts Prohibition of intentional addition or 0.000025wt% (25 ppb) of PFOA including its salts in an article or a mixture 2. PFOA-related compounds 0.0001wt% (1 ppm) of one or a combination of PFOA-related compounds, in an article or a mixture	JPN CSCL (Class 1) (*7), EU POPs Regulation
A32	C9-C14 perfluorocarboxylic acids (C9-C14 PFCAs), their salts and related substances	C9-C14 PFCAs and its salts Prohibition of intentional addition or 0.000025wt% (25 ppb) of PFOA including its salts in an article or a mixture C9-C14 PFCAs -related substances 0.000026wt% (260ppb) of one or a combination of C9-C14 PFCAs -related substances, in an article or a mixture	EU REACH Regulation (Annex XVII)
A33	Perfluorohexane sulfonic acid (PFHxS), its salts and related substances	a PFHxS content of 0.000025 % (25 ppb) by mass, or a mass content of the sum of PFHxS related substances of 0.0001 % (1000 ppb).	ORRChem Switzerland, JPN CSCL (Class 1) (*7,9), EU POPs Regulation
A34	Dechlorane Plus	Prohibition of intentional addition	Stockholm Convention on Persistent Organic Pollutants
A35	UV-328	Prohibition of intentional addition	Stockholm Convention on Persistent Organic Pollutants

"Intentional addition" means using chemical substances intentionally in forming supply items to bring about specific properties, appearance, or quality.

(*1) The denominator when calculating a threshold value shall be for each homogeneous material. The threshold concentration of metal compound is the mass ratio of metal element to homogeneous material. For example, in the case of cadmium and its compounds, it is the concentration of cadmium element. Only applications exempt from the EU RoHS Directive (hereinafter RoHS) shall be exempt from the prohibition (including exemption applications accepted in the future).

- (*2) For packaging materials, the threshold of concentration to be prohibited shall be 0.01wt% (100 ppm) for a total of four materials (cadmium and its compounds, hexavalent chromium compounds, lead and its compounds, and mercury and its compounds) for each homogeneous material composing the package. The threshold concentration of metal compound is the mass ratio of metal element to homogeneous material. For example, in the case of cadmium and its compounds, it is the concentration of cadmium element.
- (*3) Polychlorinated naphthalene with 1 or more chlorine atoms is prohibited for products destined for the EU that require compliance with EU POPs regulations. Polychlorinated naphthalene with 2 or more chlorine atoms is prohibited for products for other regions.
- (*4) The numerator when calculating a threshold value shall be an equivalent for metal tin (Sn), and the denominator shall be for each molded item or its component (including mixtures only for DBT). Intentional addition for biocides and industrial wastewater treatment applications is prohibited.
- (*5) The target substance groups and uses are listed in Annex XVII of the EU REACH Regulation. However, only the applications allowed for use covered by the exemptions and time limits specified in Annex XVII of the EU REACH Regulation shall be exempt from the prohibition of use.
- (*6) In the case of the scope of the EU RoHS Directive, it is prohibited to contain 0.1wt% (1000 ppm) or more of each homogeneous material for each substance. In the case of the scope of the EU REACH Regulation, the total content of phthalates is prohibited from containing 0.1wt% (1000 ppm) or more of the plasticized material. The applications that are out of scope of EU RoHS Directive or EU REACH Regulation, or are exempted from EU RoHS Directive or EU REACH Regulation shall be exempt from this regulation (including exemption applications accepted in the future).
- (*7) CSCL: Chemical Substances Control Law of Japan
- (*8) The regulations on the five persistent, bioaccumulative, and toxic (PBT) chemicals and PBT-containing products and articles in accordance with the TSCA (U.S. Toxic Substances Control Act) Section 6(h). At the moment, procurement items that are incorporated into articles whose destinations are clearly countries other than the U.S. are not subject to the regulations. In addition, among PIP (3:1), phase-in prohibitions and exemptions are excluded.
- (*9) Under the CSCL PFHxS-related substances and PFOS-related compounds are excluded.

<Appendix 2>

Toshiba Carrier List of Environment-Related Substances Rank B: Managed substances

No.	Substance category
B01	Brominated flame retardants, other than PBBs (A08) and PBDEs (A09)
B02	Nickel and its compounds (only parts in contact with human bodies)
B03	Certain phthalates, other than DEHP (A26), DBP (A27), BBP (A28), DIBP (A29) and designated phthalates (B07)
B04	Perfluorocarbons (PFCs)
B05	Hydrofluorocarbons (HFCs)
B06	Sulfur hexafluoride (SF6)
B07	Substances of Very High Concern (SVHC) under the EU REACH Regulation (*9)
B08	The U.S. TSCA PBT Rules (5 substances) (excluding DecaBDE (A09) and PIP (3:1) (A30)) (*10)
B09	Tetrabromobisphenol A (TBBPA)
B10	Medium-chain chlorinated paraffins (MCCP)
B11	(deleted)
B12	(deleted)
B13	PFAS (Per- and polyfluoroalkyl substances)
B14	C15-C21 perfluorocarboxylic acids (C15-C21 PFCAs), their salts and related substances

(*9) The Substances of Very High Concern (SVHC) selected under the procedures specified in Article 59 of the EU REACH Regulation.

The denominator shall be the total mass of a supply item or each component/material.

(*10) The regulations on the five persistent, bioaccumulative, and toxic (PBT) chemicals and PBT-containing products and articles in accordance with the TSCA (U.S. Toxic Substances Control Act) Section 6(h). At the moment, procurement items that are incorporated into articles whose destinations are clearly countries other than the U.S. are not subject to the regulations.

<Revision History>

Ver.	Issued	Reason and contents of revision
1.0	Oct 2022	Newly issued
1.2	Apr. 2024	1. Revised "Toshiba Carrier List of Environment-Related Substances Rank A & Rank B" 2. Change URL of Reference materials 3. Change corresponding department

Toshiba Carrier Corporation
Procurement Div.
Technology Regulation & Knowledge Administration Dept.
EH&S