



#303

Material Declaration Training

Data Collection Workflow

This 'Quick Start' guidance can be used by you, colleagues and suppliers to quickly understand the basics of building a Material Declaration (MD) collection project for your product(s)

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Material Declaration Training

You
Are
Here

100 Series: Material Regulations

Regulation Overviews
RoHS
REACH
Conflict Minerals
CA Prop 65
Canada DSL

200 Series: Reporting Parts

Workflow & Examples
Reporting Options
Report Training & Templates
Supplier Data Requirement
Letter Templates
Supporting Details

300 Series: Project Management

Assessment
Planning
Execution
Simplified Reporting
Advanced Techniques
Additional Resources

Training materials may be found in the web folder:
<http://rohsready.org/training.html>



Roster of Training – 300 Series

Project Management Techniques

#300 – Project Management Techniques

#301 - Metrics

#302 - Worklist Template

#303 - Data Workflow: Require, Remind, Receive, Review, Load, Archive

#304 - Advanced Techniques

#305 – Simplified Reporting

You are Here



#303

Data Collection Workflow

This module will help you learn recommended methods for planning and managing your Company's Material Declaration data collection process*

Key topics:

Workflow Overview

Process Selections

Workflow Phase Guidance:

Require, Remind, Receive, Review, Load, Archive

*Note - this is a long-term business process, not just a task list nor single project to support an initial compliance deadline



Workflow Overview

Your Material Compliance data collection workflow process should contain the following key phases



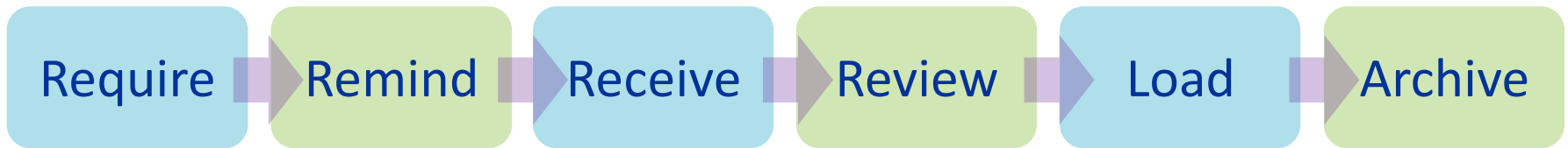
This module provides guidance for:

- Process planning steps
- Process execution steps



Workflow Overview (cont.)

Reference relationships to other training modules



#300 – Project Management Techniques

#302 - Worklist Template

#200 - Reporting a Part (Item)

#201 - Selecting
a Reporting
Option

#206 - Supplier
Requirement
Letter Template

#212 -
Applicability and
Exceptions

#211 - Reviewing
MD inputs from
suppliers

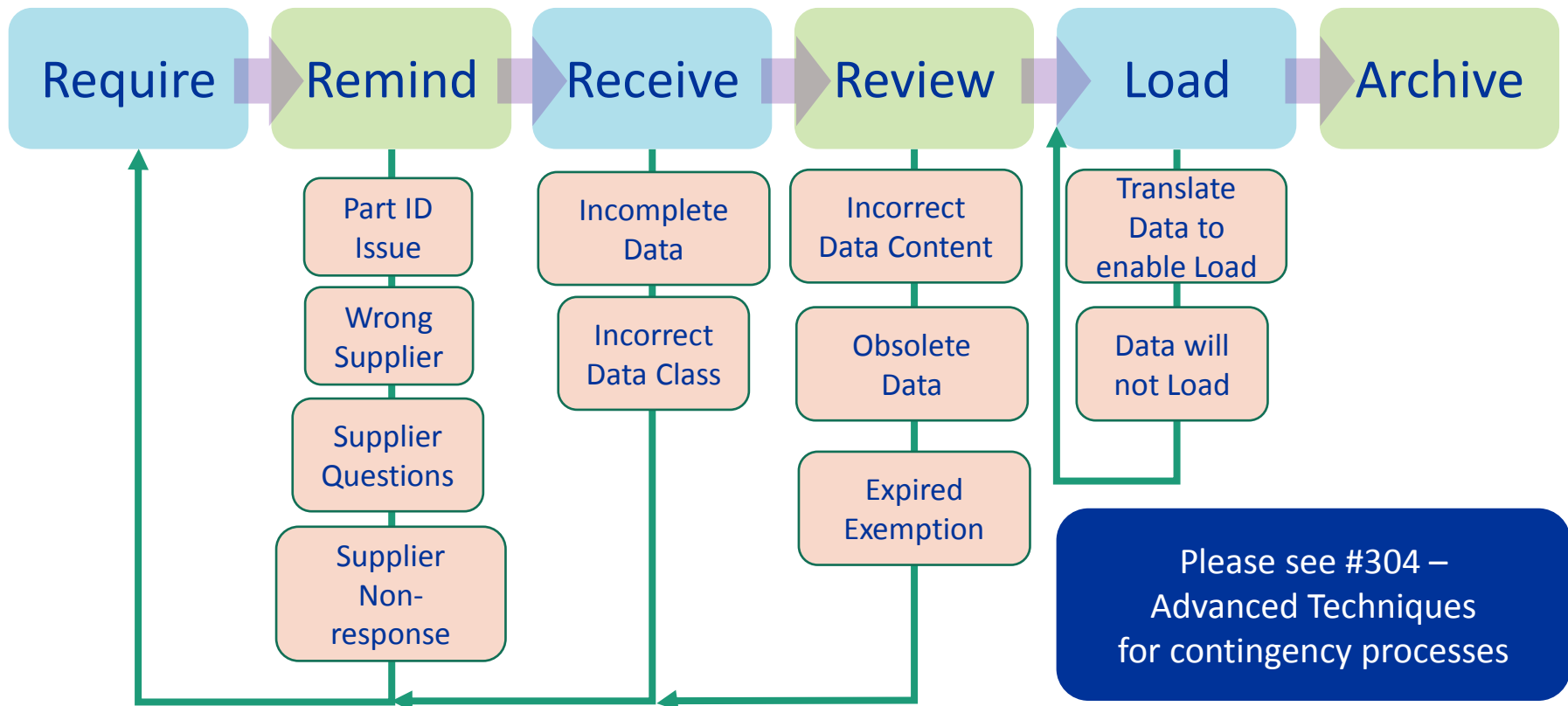
#209 - RoHS
Exemptions

#210 - Substance
Not Specifically
Reportable



Note - Workflow Reality

Real-life Material Compliance data collection workflow will have numerous contingency processes





Process Planning Steps per Workflow Phase



Process Planning

Overall Workflow

- Document the processes developed for your company
 - Define owners and responsibilities for workflow steps
- Determine training and support to be offered to suppliers (Ref #200 and #2xx series)
- Select tracking method for Company's Worklist of parts and suppliers (#302 - Worklist Template)
 - Define operating rules for status recording in Worklist
- Define process to respond to supplier questions or issues
 - Consider developing FAQs
- Determine due date for supplier data responses based on overall company plan (Ref #300 – Schedule)
- Define a reminder and escalation process for managing non-responsive suppliers



Process Planning (cont.)

Overall Workflow (cont.)

- Determine the process metrics to be utilized (Ref # 301)
 - Define the data source for metrics
- Determine output of information / reporting to support Company product(s) Technical File (evidence for CE Mark)



Process Planning (cont.)

Require

- Determine if a class of reporting is mandatory for suppliers (Ref #201 - Selecting a Reporting Option)
- Define process to send Requirement to suppliers
- Tailor the supplier requirement communication to company's needs and process
 - Ref #206 - Supplier Requirement Letter Template
 - Refer to training and support provided for suppliers (#200 and #2xx series)

Remind

- Tailor a supplier reminder communication to company's needs and process (Ref #206 - Supplier Requirement Letter Template)
- Define the time period / conditions for sending reminder communications to non-responsive suppliers
- Train Company team to seek / listen for supplier issues and assist where needed



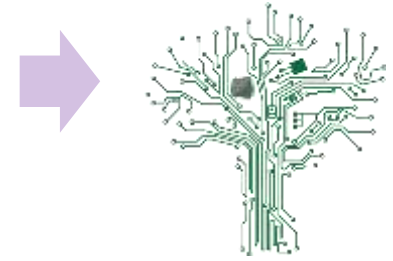
Process Planning (cont.)

Receive

- Define the method(s) for suppliers to submit data
 - Email w/attachment, upload to web folder, input to web tool
- Define process for Company team to receive data
- Define initial receipt storage location for data
- Define initial receipt review
 - Administrative information, Class of data

Review

- Define the process for Company team to fully review data
- Define the criteria for Company team to approve or reject data
- Develop process for handling rejected data and contingency workflow with suppliers



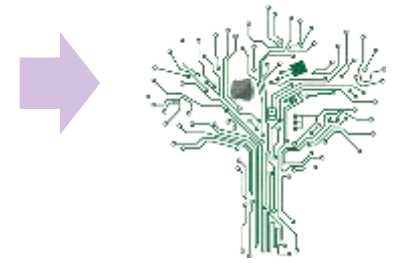
Process Planning (cont.)

Load

- Applicable if company has a database or enterprise tool where data will be 'uploaded'
- Define criteria for data to be uploaded
 - Upload may be performed prior to final review, if final review performed within tool/database
 - Potentially define and perform viability checks prior to upload
- Develop uploading process and instructions
- Define any final review required after uploading

Archive

- Define archive location for Company data
- Assure there is a protection / back-up process
- Determine output information / file to support Company product(s) Technical File (evidence for CE Mark)



Execution Steps per Workflow Phase



Require

- Identify parts which require supplier Material Declarations
 - Review parts / suppliers for any phase-outs and new introductions
 - Review parts per #212 - Applicability and Exceptions
- Build and review Worklist of parts and suppliers (Ref #300 & #302)
 - Status parts* per #212 - Applicability and Exceptions
 - *Avoid making removals – keep list content whole for reference
 - Review parts for options to report data without supplier response, e.g. data available on website, self-declare
 - Determine specific supplier contact person for material compliance data
 - Identify set of part #s requiring data, for each supplier
- Send data requirement communication to suppliers (Ref #206)
 - Record date of communication and workflow status in Worklist



Remind

- When initial response deadline has passed:
 - Send reminder communication to non-responsive suppliers
 - Record this status in Worklist tracking
- Attempt to determine if supplier has inhibiting issue
 - Track company's responses to supplier questions or issues
- Consider utilizing telephone calls in addition to e-mail
- Repeat reminder cycle per process
- Commence escalation process when reminder limit reached



Receive

- Monitor for supplier data responses
 - Monitor multiple submission paths
- Record receipts of data in Worklist tracker
 - Note specific part #s where data delivered
- Perform initial receipt review (Data handling team)
 - Correct Class of Data
 - Administrative information
 - Indication of part # reported
- Identify initial defects or issues
 - Return to supplier with description of the issue and requirement to correct
- Store data in initial location

Review



- Review submitted data (Material Compliance leader or similar)
 - Ref #211 - Reviewing MD inputs from suppliers
 - Accept or reject per company criteria
 - Identify defects or issues
- Return any defective data to supplier
 - Identify issues / specific defects to correct
 - Point to requirements or training to assist
- Track workflow status of data following review
- Rejected data returns to supplier handled as 'still due'
 - Repeat tracking and reminder cycle as needed
- Move approved data to company repository / archive

Load



- Applicable if company has database or enterprise tool
- Review data for format / upload readiness, as applicable
 - Correct prior to upload if possible (Company or supplier)
 - Consider use of semi-automated pre-check routine
- Upload data
- Check for confirm or fail
 - If fail, troubleshoot to find cause
 - Company can correct if data content not altered
 - Supplier to correct if error in data (e.g. substance weight sums)
- If required, perform final review after upload confirmed
- Capture workflow status in tracking



Archive

- Place approved data in company archive
 - Can be the tool / location where uploaded
- Assure back-up / protection capability
- Run / build reporting as needed to support Technical File



Next Steps

- Develop specific Material Compliance data collection processes as needed for your business and products
 - Utilize other guidance in the Series 2xx and 3xx modules
- Integrate with Company near and long term project planning - Ref #300
- Identify and on-board your team resources
 - Conduct training - Series 2xx and 3xx modules or similar
- Identify a pilot set of parts / suppliers for initial data collection
 - Carefully monitor execution and adjust processes or other factors as needed
- Develop the full Worklist of parts / suppliers in scope for data collection
 - Ref #300 >
 - Assessment > 'Parts and Suppliers'
 - Planning > 'Parts and Suppliers'
 - Ref #212 – Applicability and Exceptions



Additional Resources

Please see www.RoHSReady.org
for additional resources