The Information and Communications Technology (ICT) Supplier Self-Assessment Questionnaire

A Joint Initiative of

Global e-Sustainability Initiative (GeSI) Supply Chain Working Group

Electronic Industry Code of Conduct (EICC) Implementation Group

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Introduction

The Global e-Sustainability Initiative (G*e*SI) is a joint initiative of an international group of Information and Communications Technology (ICT) service providers and suppliers, with the support of the United Nations Environment Programme and International Telecommunication Union. G*e*SI seeks to contribute to sustainable development in the ICT industry by taking a leadership role in collaborative exploration and responsible management of the evolving interfaces among industrial, ecological, and social systems. Information about G*e*SI members and ongoing activities can be found at www.gesi.org.

ICT sector companies are working together to improve the practice of sustainability and social responsibility within their supply chains. To this end, the G*e*SI Supply Chain Working Group has teamed with the Electronic Industry Code of Conduct (EICC) Implementation Group and other groups to develop a set of tools that satisfy broad industry needs. These tools include this questionnaire, a risk assessment tool, a common approach to auditing, and additional web-based resources. Deployment and use of this Self Assessment Questionnaire is expected to benefit both industrial customers and their suppliers by:

- Raising supplier awareness about the importance of sustainability principles
- Clarifying ICT customer expectations regarding their suppliers' sustainability practices
- Supporting ICT customer assessments of supplier characteristics and potential risks
- Enabling suppliers to evaluate, improve, and communicate their performance
- Reducing the burden on suppliers of responding to multiple questionnaires.

The questionnaire has been designed for deployment on a secure website in the form of an online self-assessment tool. The information obtained through this instrument will be used by ICT companies as a means to better understand the practices of their suppliers and to identify potential risks or performance gaps. Because of the comprehensive nature of the questionnaire, it may provide a model for other industry groups grappling with similar issues.

The questionnaire was designed with three major criteria in mind:

- Ease of use for both suppliers and recipients of the information
- Value of information for purposes of ICT company needs
- Suitability for subsequent web-based deployment.

This questionnaire is envisioned as part of a broader communication process between ICT suppliers and customers. It is intended as an initial screening tool to help identify labour, ethics, health, safety or environmental issues that may require more in-depth exploration in the context of supplier audits or other interactions. Therefore, in an effort to keep the length reasonable, the questionnaire deliberately avoids excessive detail.

Suppliers are encouraged to respond fully to the questions. The intent of the questionnaire is to promote an open and constructive dialogue between suppliers and customers regarding best practices in the management of environmental and social responsibility. An honest and transparent supplier self-assessment represents a first step toward working with customers to improve management systems and overall performance. Suppliers will be expected to demonstrate their continuous improvement through periodic updates of the on-line questionnaire, based on a schedule to be established with their customers.

Note: The presentation of questions in this document pertaining to specific supplier practices does not necessarily imply an endorsement of either those practices or related codes of conduct.

Supplier Self-Assessment Questionnaire

Section C

Corporate-Level Social and Environmental Responsibility

Questionnaire Instructions

This Self-Assessment Questionnaire is intended to promote supplier awareness of social and environmental responsibility, and to enable suppliers to provide information regarding their management systems and practices.

The questionnaire consists of two major components C and F, each subdivided into three parts that can be completed independently by different supplier personnel:

- **C: Corporate-level Social and Environmental Responsibility**
    - CB: Basic Company Information
    - CL: Labour Management and Ethical Conduct
    - CH: Health, Safety and Environmental Management

- **F: Facility-level Social and Environmental Responsibility**
    - FB: Basic Facility Information
    - FL: Facility Labour Management and Ethical Conduct
    - FH: Facility Health, Safety and Environmental Management

The supplier organisation should complete the Corporate Questionnaire for the company as a whole, and questionnaire F for each operating facility (see diagram). A facility is defined as any manufacturing or service site involved in fulfillment of customer demand.

The information entered by a supplier will be accessible only by the customer(s) designated in Section CB1 below.

All questionnaire responses will be securely maintained and will be accessible for future review and updating. Suppliers will be able to revise their responses as their practices and procedures evolve.
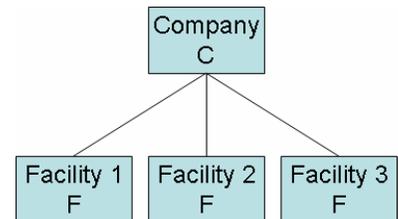
Note: References to relevant information, including international standards and codes, are provided in the Appendix. However, the presentation of questions in this document pertaining to specific supplier practices does not necessarily imply an endorsement of either those practices or related codes of conduct.

Basic Company Information

CB1. Customer Designation

(**Note**: This information will be completed for each customer, and will be accessible only by the supplier and the designated customer)

1. Contract deliverables: (check one or both)	❏ products	❏ services
2. Do the products carry the customer name and/or logo?	❏ yes	❏ no

3. If manufacturing products, please indicate how many **supply chain tiers**, including your own company, are involved in fulfillment of the customer contract(s).
❏ 1 ❏ 2 ❏ 3 ❏ 4 or more

CB2. Company (Supplier) Contact Information

1. Company Name:	
2. Company Headquarters Mailing Address:	
3. Country:	
4. Contact Name:	
5. Contact Position / Title:	
6. Contact Telephone Number:	
7. Contact Fax Number:	
8. Contact Email:	
9. Contact Address: (if different from above)	
10. Facilities for which Facility Questionnaire will be completed	
11. Date of submission:	

CB3. Supplier Company Characteristics

1. What is the **principal business** of your company?

(check all that apply)

❑ final assembly   ❑ component manufacturing   ❑ plating, painting or stamping

❑ printed circuit boards   ❑ raw material extraction   ❑ recycling or disposal

❑ distribution   ❑ services   ❑ software   ❑ other:

1.1 Please describe other:

2. Please indicate the **ownership** of your company.

❑ privately owned   ❑ publicly traded   ❑ government owned   ❑ other:

2.1 Please describe other:

3. Is your company a wholly-owned **subsidiary** or joint venture?

❑ Yes   ❑ No (skip to Question 5)

4. If "Yes", please list the parent corporation(s):

5. How many **people** does your company employ in total?

❑ less than 25   ❑ 26 to 100   ❑ 101 to 1000   ❑ more than 1000

6. What is the approximate annual sales **revenue** (in USD) of your company?

❑ less than $1 million   ❑ $1 million to $10 million   ❑ $10 million to $100 million

❑ $100 million to $500 million   ❑ $500 million to $1billion   ❑ more than $1billion

7. Please list the countries where your company has operating and manufacturing facilities. (Note that each facility must complete a Facility Questionnaire.)

8. Has your company issued any **public reports** describing your social and environmental responsibility or sustainability commitments and practices?

❑ Yes   ❑ No (skip to Question 10)

9. If "Yes", please provide an Internet address or attach the most recent reports.

(skip to Question 11)

10. If "No", are there plans to issue a report in the next 12 months?

❑ Yes   ❑ No

Attachments:

Please clearly label all supporting attachments with the Question number (e.g., CB3.9) to which they refer. Attachments can be separate files, or can be combined into a single file.
See the **last page** of this questionnaire for a summary of attachments requested.

Labour Management and Ethical Conduct

CL1. Management Accountability for Labour & Ethics

1. Is a **management representative** of the company assigned responsibility for assuring and facilitating compliance with **labour** laws, regulations and codes across all of your facilities?	
❒ Yes	❒ No

2. If "Yes," please provide his or her contact information.	
Contact name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

3. Is a **management representative** assigned responsibility for assuring and facilitating compliance with **business ethics** laws, regulations and codes across all of your facilities?		
❒ Yes	❒ Yes, same Individual as above	❒ No

4. If "Yes," please provide his or her contact information below.	
Contact name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

5. During the last 12 months, has your company received any company-wide **awards** or recognition for your accomplishments in labour and ethics management?	
❒ Yes	❒ No

6. If "Yes", please list these awards.	

7. Is your company a member of any **organisations** that promote social responsibility?	
❒ Yes	❒ No

8. If "Yes", please list these memberships.	

CL2. Labour and Ethics Policy & Procedures

1. a. Does your company have a written **labour policy (or statement of commitment)**?

❒ Yes ❒ No

If "Yes", please attach the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements).

1. b. Does your company have a written **ethics policy (or statement of commitment)?**

❒ Yes ❒ No

If "Yes" please **attach*** the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.)

2. a. Does your **labour** policy apply to **all your facilities** regardless of country location?

❒ Yes ❒ some facilities exempt ❒ No

2. a. 1. Please explain why some facilities are exempt.

2. b. Does your **ethics** policy apply **to all your facilities** regardless of country location?

❒ Yes ❒ some facilities exempt ❒ No

2. b. 1 Please explain why some facilities are exempt.

3. a. Does your **labour** policy express a commitment to **continuous improvement**?

❒ Yes ❒ No

3. b. Does your **ethics** policy express a commitment to **continuous improvement**?

❒ Yes ❒ No

4. a. Do all your facilities communicate the **labour** policy to their workers in the local or appropriate **language(s)**?

❒ Yes ❒ No

4. b. Do all your facilities communicate the **ethics** policy to their workers in the local or appropriate **language(s)**?

❒ Yes ❒ No

5. a. For each item below, please check the box if it is **included** in the scope of your **labour** policy or supporting rules and procedures:

Labour

❒ **Freely chosen employment** (e.g., no forced, bonded, involuntary, or prison labour)
❒ **Child labour avoidance** (e.g., no under-age workers, no hazardous duty for young workers)
❒ **Working hours** (e.g., limits on maximum hours worked, mandatory days off)
❒ **Wages and benefits** (e.g., legal wages, overtime pay, clear information)
❒ **Humane treatment** (e.g., no abuse, coercion, sexual harassment, or punishment)
❒ **Non-discrimination** (e.g., age, race, gender, religion, sexual or political orientation)
❒ **Freedom of association** (e.g., labour unions, collective bargaining, open communication)

5. b. For each item below, please check the box if it is **included** in the scope of your **ethics** policy or supporting rules and procedures:

Ethics

❒ **Business integrity** (e.g., no corruption, extortion, embezzlement, or falsification)

❒ **No improper advantage** (e.g., no use of bribes or other means of gaining advantage)

❒ **Disclosure of information** (e.g., business activities, structure, financial situation)

❒ **Intellectual property** (e.g., protect intellectual property rights of business partners)

❒ **Fair business practices** (e.g., advertising and competition, safeguarding customer data)

❒ **Protection of identity** (e.g., anonymity for workers reporting policy violations)

6. a. Does your company place a contractual requirement on its **suppliers** (including labour agencies) to be in compliance with **labour** laws and regulations?

❒ Yes ❒ No

6. b. Does your company place a contractual requirement on its **suppliers** (including labour agencies) to be in compliance with **ethics** laws and regulations?

❒ Yes ❒ No

7. a. Do you expect your suppliers to adopt **voluntary labour** codes or standards?

❒ Yes ❒ No

7. b. If "Yes", please state the applicable labour code(s) or standard(s):

8. a. Do you expect your suppliers to adopt **voluntary ethics** codes or standards?

❒ Yes ❒ No

8. b. If "Yes", please state the applicable ethics code(s) or standard(s):

CL3. Labour/Ethics Management System Status

1.   a. Does your company utilise or is it developing a **management systems** approach (including policies, goals, procedures, and review processes) to assure proper management of **labour**?

❐ Yes	❐ No

1.   b. Does your company utilise or is it developing a **management systems** approach (including policies, goals, procedures, and review processes) to assure proper management of **ethics**?

❐ Yes	❐ No

2. Do you have a company-wide management system registered to SA 8000, Ethical Trading Initiative, or other recognized codes of social conduct? (Report site-specific management systems in the Facility Questionnaire for that site.)

❐ Yes	❐ No

3. If "Yes", please provide the information listed, and attach* a copy of the certificate.

Type of certificate:	
Certificate number:	
Date of issue:	
Certifier:	

4.   a. For your **labour** management systems, please indicate the **level of implementation** of the programmes and procedures for each item below.

Labour

a. 1. Freely chosen employment	❐ none	❐ planned	❐ partial	❐ in place
a. 2. Child labour avoidance	❐ none	❐ planned	❐ partial	❐ in place
a. 3. Working hours	❐ none	❐ planned	❐ partial	❐ in place
a. 4. Wages and benefits	❐ none	❐ planned	❐ partial	❐ in place
a. 5. Humane treatment	❐ none	❐ planned	❐ partial	❐ in place
a. 6. Non-discrimination	❐ none	❐ planned	❐ partial	❐ in place
a. 7. Freedom of association	❐ none	❐ planned	❐ partial	❐ in place

4.   b. For your **ethics** management systems, please indicate the **level of implementation** of the programmes and procedures for each item below.

Ethics

b. 1. Business integrity	❐ none	❐ planned	❐ partial	❐ in place
b. 2. No improper advantage	❐ none	❐ planned	❐ partial	❐ in place
b. 3. Disclosure of information	❐ none	❐ planned	❐ partial	❐ in place
b. 4. Intellectual property	❐ none	❐ planned	❐ partial	❐ in place
b. 5. Fair business practices	❐ none	❐ planned	❐ partial	❐ in place
b. 6. Protection of identity	❐ none	❐ planned	❐ partial	❐ in place

5. To what extent are the above labour/ethics management system(s) **documented**?	
❑ not at all ❑ partially ❑ completely ❑ completely and updated regularly	
6. How often does the management of your company **periodically review** the status of the above labour/ethics management system(s) and identify improvement opportunities?	
❑ never ❑ irregularly ❑ every 2 to 4 years ❑ at least every year	
7. What was the date of the last management review, if any?	

CL4. Labour/Ethics Management System Elements

1. a. Has your company established a **tracking system** to identify and monitor **labour** laws and regulations that apply to your company?
❐ Yes ❐ No ❐ Done at the facility level
1. b. Has your company established a **tracking system** to identify and monitor **ethics** laws and regulations that apply to your company?
❐ Yes ❐ No ❐ Done at the facility level
2. If "Yes", please indicate the **methods and sources** used to track laws and regulations.
(select one or more)
❐ information subscription   ❐ consulting services   ❐ industry associations
❐ regulatory agencies   ❐ in-house specialists   ❐ other:
3. a. Does your company have written **performance objectives** for **labour** practices, including metrics and targets with implementation plans for achieving them?
❐ Yes ❐ No
a. 1.   If "Yes", please attach* the objectives for the **current year**.
4. a. How often does your company **review performance** against these objectives and targets?
❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year
5. a. Please indicate the date of the last review, if any.
3. b. Does your company have written **performance objectives** for **ethical** practices, including metrics and targets with implementation plans for achieving them?
❐ Yes ❐ No
b. 1.   If "Yes", please attach* the objectives for the **current year**.
4. b. How often does your company **review performance** against these objectives and targets?
❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year
5. b. Please indicate the date of the last review, if any.
6. a. Does your company have a **risk assessment** process to identify, prioritize, and mitigate the potential labour risks associated with your operations and activities?
❐ none   ❐ planned   ❐ partial   ❐ in place   ❐ done at facility level
6. b. Does your company have a **risk assessment** process to identify, prioritize, and mitigate the potential business ethics risks associated with your operations and activities?
❐ none   ❐ planned   ❐ partial   ❐ in place   ❐ done at facility level
7. Does your company have a programme to assess risks and manage the identified risks relating to the labour and ethics practices of your **suppliers**?
❐ none   ❐ planned   ❐ partial   ❐ in place   ❐ done at facility level
8. a. Does your company conduct **periodic audits** of **labour** practices at its operating facilities in order to assess conformance with regulatory and other requirements?
❐ Yes ❐ No

9. a. Please indicate what types of requirements are covered in your audit process of labour practices. (check all that apply)

❒ regulations   ❒ internal requirements   ❒ external codes of conduct

8. b. Does your company conduct **periodic audits** of **ethical** practices at its operating facilities in order to assess conformance with regulatory and other requirements?

❒ Yes   ❒ No

9. b. Please indicate what types of requirements are covered in your audit process of ethics practices. (check all that apply)

❒ regulations   ❒ internal requirements   ❒ external codes of conduct

10. During the last 12 months, has your company received a labour or ethical practices audit or assessment by a customer or other **external** organisation at any of your facilities?

❒ Yes   ❒ No

11. What type of organisation performed the audit? (customer, NGO, government, other)

12. Does your company have a process to implement timely **corrective actions** for labour or ethical deficiencies identified by internal or external assessments, audits, and reviews?

❒ none   ❒ planned   ❒ partial   ❒ in place

13. Does the corrective action process include **root cause** analysis and prevention?

❒ Yes   ❒ No

14. To which of the following **external groups** does your company communicate information about its labour and/or ethics performance, practices and expectations?
(check all that apply)

❒ suppliers   ❒ customers   ❒ communities   ❒ investors

❒ government   ❒ general public   ❒ other:

Health, Safety and Environmental Management

CH1. Management Accountability and History for HS&E

1. Is a **management representative** of the company assigned responsibility for assuring and facilitating compliance with **occupational health and safety** laws, regulations and codes across all of your facilities?

❒ Yes ❒ No

2. If "Yes," please provide his or her contact information below.

Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

3. Is a **management representative** assigned responsibility for assuring and facilitating compliance with **environmental** laws, regulations and codes across all of your facilities?

❒ Yes ❒ Yes, same individual as above ❒ No

4. If "Yes," please provide his or her contact information below.

Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

5. During the last 12 months, has your company received any company-wide **awards** or recognition for your efforts in health, safety, or environmental management?

❒ Yes ❒ No

6. If "Yes", please list these awards.

7. During the last 12 months, were there any fires, explosions, industrial accidents, hazardous releases, or other HS&E-related **incidents** at any of your facilities?

❒ Yes ❒ No (skip to Section CH2)

7. 1. If "Yes", please attach* a brief description of these incidents, including any resulting human injuries, fatalities, off-site impacts, or property damage.

CH2. Health, Safety and Environmental (HS&E) Policy & Procedures

1. a. Does your company have a written **Health and Safety** policy (or statement of commitment) {may be part of a combined health, safety and environmental policy}?
❐ Yes ❐ No
If "Yes", please **attach*** the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.)
1. b. Does your company have a written **Environmental** policy (or statement of commitment) {may be part of a combined health, safety and environmental policy}?
❐ Yes ❐ No
If "Yes", please **attach*** the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.)
2. a. Does your **health and safety** policy apply to **all** your **facilities** regardless of country location?
❐ Yes ❐ Some facilities exempt ❐ No
Please list the exempt facilities:
Please explain reasons for exemptions:
2. b. Does your **environmental** policy apply to **all** your **facilities** regardless of country location?
❐ Yes ❐ Some facilities exempt ❐ No
Please list the exempt facilities:
Please explain reasons for exemptions:
3. a. Does your **health and safety** policy express a commitment to **continuous improvement**?
❐ Yes ❐ No
3. b. Does your **environmental** policy express a commitment to **continuous improvement?**
❐ Yes ❐ No
4. a. Do all your facilities communicate **the health and safety** policy to their workers in the local or appropriate **language(s)**?
❐ Yes ❐ No
4. b. Do all your facilities communicate the **environmental** policy to their workers in the local or appropriate **language(s)**?
❐ Yes ❐ No

5. a. Please mark those **principles** below that are included in the scope of your **health and safety** policy or supporting rules and procedures:

<u>**Health and Safety**</u>

❒ **Occupational safety** (e.g., control of hazardous conditions and potential accidents)

❒ **Emergency preparedness** (e.g., planning, preparation, detection, and incident response)

❒ **Occupational Injury/Illness** (e.g., reporting, treatment, counseling, case management)

❒ **Industrial hygiene** (e.g., control of exposure to chemicals and other agents)

❒ **Physically demanding work** (e.g., heavy lifting, prolonged repetitive or forceful tasks)

❒ **Machine safeguarding** (e.g., physical guards, interlocks, and protective barriers)

❒ **Living conditions** (e.g., dormitory and canteen conditions, sanitation, safety)

5. b. Please mark those **principles** below that are included in the scope of your **environmental** policy or supporting rules and procedures.

<u>**Environmental**</u>

❒ **Environmental permits** (e.g., permit registration, maintenance, compliance reporting)

❒ **Pollution prevention** (e.g., energy and resource conservation, waste reduction)

❒ **Hazardous substances** (e.g., material handling, storage, recycling, disposal, spill control)

❒ **Wastewater & solid waste** (e.g., waste stream monitoring, control, treatment, disposal)

❒ **Airborne emissions** (e.g., emission characterisation, monitoring, control, mitigation)

❒ **Product content** (e.g., controlled materials, disclosure, testing, recycled content)

6. a. Does your company place a contractual requirement on its suppliers to be in compliance with occupational **health and safety** laws and regulations?

❒ Yes ❒ No

6. b. Does your company place a contractual requirement on its suppliers to be in compliance with environmental regulations?

❒ Yes ❒ No

7. a. Do you expect your suppliers to adopt **voluntary health and safety** standards or codes of conduct?

❒ Yes ❒ No

a. 1. Please state the applicable health and safety standard(s) or code(s)

7. b. Do you expect your suppliers to adopt **voluntary environmental** standards or codes of conduct?

❒ Yes ❒ No

b. 1. Please state the applicable environmental standard(s) or code(s):

CH3. HS&E Management System Status

1. a. Does your company utilise or is it developing a **management systems** approach (including policies, programmes, procedures, and review processes) to assure proper management of **health and safety** practices?	
❐ Yes ❐ No	

1. b. Does your company utilise or is it developing a **management systems** approach (including policies, programmes, procedures, and review processes) to assure proper management of **environmental** practices?
❐ Yes ❐ No

2. Do you have a company-wide management system registered to ISO 14001, OHSAS 18001, or other recognized health and safety or environmental management standards? (Report site-specific management systems in the Facility Questionnaire for that site.)
❐ Yes ❐ No

3. If "Yes", please provide the information below, and **attach*** a copy of the certificate.

Type of certificate:	
Certificate number:	
Date of issue:	
Certifier:	

4. a. For your **health and safety** management systems, please indicate the **level of implementation** of the programmes and procedures for each item below.

Health & Safety

a. 1. Occupational safety	❐ none	❐ planned	❐ partial	❐ in place
a. 2. Emergency preparedness	❐ none	❐ planned	❐ partial	❐ in place
a. 3. Occupational injury/illness	❐ none	❐ planned	❐ partial	❐ in place
a. 4. Industrial hygiene	❐ none	❐ planned	❐ partial	❐ in place
a. 5. Physically demanding work	❐ none	❐ planned	❐ partial	❐ in place
a. 6. Machine safeguarding	❐ none	❐ planned	❐ partial	❐ in place
a. 7. Living conditions	❐ none	❐ planned	❐ partial	❐ in place

4. b. For your **environmental** management systems please indicate the **level of implementation** of the programmes and procedures for each item below.

Environmental

b. 1. Environmental permits	❐ none	❐ planned	❐ partial	❐ in place
b. 2. Pollution prevention	❐ none	❐ planned	❐ partial	❐ in place
b. 3. Hazardous substances	❐ none	❐ planned	❐ partial	❐ in place
b. 4. Wastewater & solid waste	❐ none	❐ planned	❐ partial	❐ in place
b. 5. Airborne emissions	❐ none	❐ planned	❐ partial	❐ in place
b. 6. Product content	❐ none	❐ planned	❐ partial	❐ in place

5. To what extent are the above HS&E management system(s) **documented**?

❐ not at all ❐ partially ❐ completely ❐ completely and updated regularly

6. How often does the management of your company **periodically review** the status of the above HS&E management system(s) and identify improvement opportunities?	
❐ never ❐ irregularly ❐ every 2 to 4 years ❐ at least every year	

7. What was the date of the last management review, if any?	

CH4. HS&E Management System Elements

1. a. Has your company established a **tracking system** to identify and monitor **health and safety** laws and regulations that apply to your company? ❐ Yes ❐ No
2. a. Please indicate the methods and sources used to track these laws and regulations. (check all that apply) ❐ information subscription ❐ consulting services ❐ industry associations ❐ regulatory agencies ❐ in-house specialists ❐ other: [____]
1. b. Has your company established a **tracking system** to identify and monitor **environmental** laws and regulations that apply to your company? ❐ Yes ❐ No
2. b. Please indicate the methods and sources used to track these laws and regulations. (check all that apply) ❐ information subscription ❐ consulting services ❐ industry associations ❐ regulatory agencies ❐ in-house specialists ❐ other: [____]
3. a. Does your company have written **performance objectives** for **health and safety** practices and results, including metrics and targets with implementation plans for achieving them? ❐ Yes ❐ No If "Yes", please **attach*** the objectives for the **current year**.
4. a. How often does your company **review performance** against these objectives and targets? ❐ never ❐ irregularly ❐ every 2 to 4 years ❐ at least every year
5. a. Please indicate the date of the last review, if any: [____]
3. b. Does your company have written **performance objectives** for **environmental** practices and results, including metrics and targets with implementation plans for achieving them? ❐ Yes ❐ No If "Yes", please **attach*** the objectives for the **current year**.
4. b. How often does your company **review performance** against these objectives and targets? ❐ never ❐ irregularly ❐ every 2 to 4 years ❐ at least every year
5. b. Please indicate the date of the last review, if any: [____]
6. Does your company have a **risk assessment** process to identify, prioritise, and mitigate the potential HS&E risks associated with your operations and activities? ❐ none ❐ planned ❐ partial ❐ in place ❐ done at facility level
7. Does your company have a programme to assess risks and manage the identified risks relating to the HS&E practices of your **suppliers**? ❐ none ❐ planned ❐ partial ❐ in place ❐ done at facility level

8. a. Does your company conduct **periodic audits** of **health and safety practices** at its operating facilities in order to assess conformance with regulatory and other requirements?

❒ Yes   ❒ No

9. a. Please indicate what types of requirements are covered in your audit process for health and safety. (Select one or more)

❒ regulations   ❒ internal requirements   ❒ external codes of conduct

8. b. Does your company conduct **periodic audits** of **environmental practices** at its operating facilities in order to assess conformance with regulatory and other requirements?

❒ Yes   ❒ No

9. b. Please indicate what types of requirements are covered in your audit process for environmental practices. (Select one or more)

❒ regulations   ❒ internal requirements   ❒ external codes of conduct

10. Does your company have a process to implement timely **corrective actions** for HS&E deficiencies identified by internal or external assessments, audits, and reviews?

❒ none (skip to Question 12)   ❒ planned   ❒ partial   ❒ in place

11. Does the corrective action process include **root cause** analysis and prevention?

❒ Yes   ❒ No

12. To which of the following **external groups** does your company communicate information about its HS&E performance, practices and expectations?

(check all that apply)

❒ suppliers   ❒ customers   ❒ communities   ❒ investors

❒ government   ❒ general public   ❒ other: _____

Summary of Attachments Provided for Corporate Questionnaire

Please indicate below which of the requested documents you are attaching electronically.

Please clearly label all attachments with the Question number (e.g., CH4.3) to which they refer. Attachments can be separate files, or can be combined into a single file.

Policies or Statements of Commitment

❒ Company policy on Labour and Ethics. (CL2.1)

❒ Company policy on Health, Safety and Environment. (CH2.1)

Company Performance Objectives

❒ Labour/Ethics performance objectives for current year. (CL4.3)

❒ HS&E performance objectives for current year. (CH4.3)

Company-Wide Management Systems

❒ Labour/Ethics management system certificate. (CL3.3)

❒ Health and Safety and/or Environmental management system certificate. (CH3.3)

❒ **Optional**: Description of your company management system for a selected aspect of Labour/Ethics or HSE performance.

Other Information

❒ Public report on social and environmental responsibility or sustainability. (CB3.9)

❒ Brief description of HS&E-related incidents during the past 12 months. (CH1.7)

Supplier Self-Assessment Questionnaire

Questionnaire Instructions

This Self-Assessment Questionnaire is intended to promote supplier awareness of social and environmental responsibility, and to enable suppliers to provide information regarding their management systems and practices.

The questionnaire consists of two major components C and F, each subdivided into three parts that can be completed independently by different supplier personnel:

- **C: Corporate-level Social and Environmental Responsibility**
    - o CB: Basic Company Information
    - o CL: Labour Management and Ethical Conduct
    - o CH: Health, Safety and Environmental Management

- **F: Facility-level Social and Environmental Responsibility**
    - o FB: Basic Facility Information
    - o FL: Facility Labour Management and Ethical Conduct
    - o FH: Facility Health, Safety and Environmental Management

The supplier organisation should complete the Corporate questionnaire for the company as a whole, and Facility Questionnaire for each operating facility (see diagram). A facility is defined as any manufacturing or service site involved in fulfillment of customer demand.

The information entered by a supplier will be accessible only by the customer(s) designated in Section FB1 below.

All questionnaire responses will be securely maintained and will be accessible for future review and updating. Suppliers will be able to revise their responses as their practices and procedures evolve.
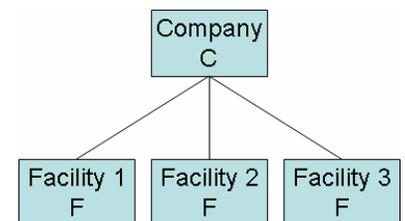
Note: References to relevant information, including international standards and codes, are provided in the Appendix. However, the presentation of questions in this document pertaining to specific supplier practices does not necessarily imply an endorsement of either those practices or related codes of conduct.

Basic Facility Information

FB1. Customer Designation

(**Note**: This information will be completed for each customer, and will be accessible only by the supplier and the designated customer)

1. Contract deliverables: (check one or both)	❒ products ❒ services
2. If products, do they carry the customer name and/or logo?	❒ yes ❒ no
3. If manufacturing products, please indicate how many **supply chain tiers**, including your own company, are involved in fulfillment of the customer contract(s).	
❒ 1 ❒ 2 ❒ 3 ❒ 4 or more	

FB2. Supplier Facility Contact Information

1. Company Name:	
2. Facility Name:	
3. Contact Name:	
4. Contact Position / Title:	
5. Contact Telephone Number:	
6. Contact Fax Number:	
7. Contact Email:	
8. Contact Address:	
9. Country:	
10. Company Headquarters Address (if different from above):	
11. Date of submission:	

FB3. Supplier Facility Characteristics

1. What are the **principal activities** performed at your facility?

<div>

(check all that apply)

❐ final assembly   ❐ component manufacturing   ❐ plating, painting or stamping

❐ printed circuit boards   ❐ raw material extraction   ❐ recycling or disposal

❐ distribution   ❐ services   ❐ software   ❐ other:

</div>

1. 1. Please describe other:

2. If "**component manufacturing**", what primary types of operations are performed?

<div>

(check all that apply)

❐ chemical   ❐ mechanical   ❐ finishing   ❐ assembly   ❐ other:

</div>

2. 1. Please describe other:

3. How many **people** does your facility employ or contract with in total?

<div>

❐ 1 to 100   ❐ 101 to 1000   ❐ 1000 to 5000   ❐ more than 5000

</div>

4. Is your facility **site** owned or leased?

<div>

❐ owned   ❐ leased

</div>

5. For how many **years** has your company operated at this site?	**years**

6. During the last 12 months, were there any public demonstrations, **protests**, or adverse media reports involving your facility's operations or business conduct?

<div>

❐ Yes   ❐ No

</div>

6. 1. If "Yes", please **attach*** a brief description of these incidents.

Attachments:

Please clearly label all supporting attachments with the Question number (e.g., FB3.6) to which they refer. Attachments can be separate files, or can be combined into a single file.
See the **last page** of this questionnaire for a summary of attachments requested.

Labour Management and Ethical Conduct

FL1. Facility Contact Information for Labour and Ethics

1. Company Name:	
2. Facility Name:	
3. Facility Address:	
4. Contact Name:	
5. Contact Position / Title:	
6. Contact Telephone Number:	
7. Contact Fax Number:	
8. Contact Email:	
9. Contact Address: (if different from facility address)	
10. Date of submission:	

FL2. Management Accountability and History

1. Is a **management representative** at this facility assigned responsibility for assuring and facilitating compliance with **labour** laws, regulations and codes?	
❐ Yes ❐ No	

2. If "Yes," please provide his or her contact information below.	
Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

3. Is a **management representative** at this facility assigned responsibility for assuring and facilitating compliance with **business ethics** laws, regulations and codes?	
❐ Yes ❐ Yes, Same Individual as above ❐ No	

4. If "Yes," please provide his or her contact information below.	
Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

5. During the past 3 years, has the facility been **prosecuted or cited** for labour or ethics violations resulting in penalties or corrective actions mandated by a court or government authority?
❐ Yes ❐ No (skip to Section FL3)
If "Yes", please **attach*** a brief description of each such prosecution or citation, including the penalties imposed, the corrective actions taken, and the current status or results.

Attachments:

Please clearly label all supporting attachments with the Question number (e.g., FL2.5) to which they refer. Attachments can be separate files, or can be combined into a single file. See the **last page** of this questionnaire for a summary of attachments requested.

FL3. Labour and Ethics Policy & Procedures

1. a. Does your facility have a written **labour policy** (or statement of commitment)?

❑ Yes ❑ No

If "Yes", please **attach*** the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.)
Note: The company-wide labour and ethics policy is addressed in the Corporate Questionnaire.

1. b. Does your facility have a written **ethics policy** (or statement of commitment)?

❑ Yes ❑ No

If "Yes", please **attach*** the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.)
Note: The company-wide labour and ethics policy is addressed in the Corporate Questionnaire.

2. a. For each item below, please check the box if it is **included** in the scope of your **labour** policy or supporting rules and procedures:

Labour

❑ **Freely chosen employment** (e.g., no forced, bonded, involuntary, or prison labour)
❑ **Child labour avoidance** (e.g., no under-age workers, no hazardous duty for young workers)
❑ **Working hours** (e.g., limits on maximum hours worked, mandatory days off)
❑ **Wages and benefits** (e.g., legal wages, overtime pay, clear information)
❑ **Humane treatment** (e.g., no abuse, coercion, sexual harassment, or punishment)
❑ **Non-discrimination** (e.g., age, race, gender, religion, sexual or political orientation)
❑ **Freedom of association** (e.g., labour unions, collective bargaining, open communication)

2. b. For each item below, please check the box if it is **included** in the scope of your **ethics** policy or supporting rules and procedures:

Ethics

❑ **Business integrity** (e.g., no corruption, extortion, embezzlement, or falsification)
❑ **No improper advantage** (e.g., no use of bribes or other means of gaining advantage)
❑ **Disclosure of information** (e.g., business activities, structure, financial situation)
❑ **Intellectual property** (e.g., protect intellectual property rights of business partners)
❑ **Fair business practices** (e.g., advertising and competition, safeguarding customer data)
❑ **Protection of identity** (e.g., anonymity for workers reporting policy violations)

3. a. For each item below, please indicate whether your **labour** policies and procedures are **communicated** clearly to workers in the local or appropriate language(s).

Labour

a. 1. **Freely chosen employment**	❏ Yes	❏ No
a. 2. **Child labour avoidance**	❏ Yes	❏ No
a. 3. **Working hours**	❏ Yes	❏ No
a. 4. **Wages and benefits**	❏ Yes	❏ No
a. 5. **Humane treatment**	❏ Yes	❏ No
a. 6. **Non-discrimination**	❏ Yes	❏ No
a. 7. **Freedom of association**	❏ Yes	❏ No

3. b. For each item below, please indicate whether your **ethics** policies and procedures are **communicated** clearly to workers in the local or appropriate language(s).

Ethics

b. 1. **Business integrity**	❏ Yes	❏ No
b. 2. **No improper advantage**	❏ Yes	❏ No
b. 3. **Disclosure of information**	❏ Yes	❏ No
b. 4. **Intellectual property**	❏ Yes	❏ No
b. 5. **Fair business practices**	❏ Yes	❏ No
b. 6. **Protection of identity**	❏ Yes	❏ No

4. What **communication methods** are used to inform workers about your policies and procedures?

(check all that apply)

❏ website or electronic mail   ❏ postings on bulletin boards   ❏ handbooks or literature

❏ meetings with managers   ❏ formal training sessions   ❏ other:

4. 1. Please describe other:

5. What percentage of the workers employed at your facility are **temporary contract workers**?

❏ none (skip to Question 7)   ❏ less than 25%

❏ 25% to 50%   ❏ more than 50%

6. Do temporary contract workers at your facility receive **benefits** in addition to their wages?

❏ Yes   ❏ No

7. a. Do you place a contractual requirement on your **suppliers** (including labour agencies) to be in compliance with **labour** laws, regulations, or codes of conduct?

❏ Yes   ❏ No

7. b. Do you place a contractual requirement on your **suppliers** (including labour agencies) to be in compliance with **ethics** laws, regulations, or codes of conduct?	
❐ Yes ❐ No	
8. a. Do you expect your suppliers to **voluntarily** adopt **labour** standards or codes?	
❐ Yes ❐ No	
9. a. Please state the applicable Labour standard(s) or code(s):	
8. b. Do you expect your suppliers to **voluntarily** adopt **ethics** standards or codes?	
❐ Yes ❐ No	
9. b. Please state the applicable Ethics standard(s) or code(s):	
10. Does your facility engage in **community assistance** programmes, such as supporting education, improved living conditions or economic capacity building?	
❐ Yes ❐ No (skip to Section FL4)	
11. If "Yes", briefly describe these programmes.	

The following series of questions (FL4 to FL11) deal with each labour and ethics item listed in Question 2 above. Sections FL12 and FL13 address your management systems.

FL4. Freely Chosen Employment

1. What percentage of your workers have a written and signed employment **contract**? ❒ less than 25% ❒ 25% to 49% ❒ 50% to 74% ❒ 75% to 99% ❒100%
2. Does your facility use **foreign** or migrant workers? ❒ Yes ❒ No   (skip to Question 6)
3. Does your facility use workforce **recruiters** to provide foreign or migrant workers? ❒ Yes ❒ No   (skip to Question 5)
4. If "Yes", who pays the workforce recruiters' fees? ❒ Your Company ❒ Recruited workers ❒ Both
5. Who is responsible for **safekeeping** of travel documents (e.g., passport or visa) for foreign workers at your facility? ❒ Facility managers ❒ Workers ❒ Recruiters
6. Are any of your workers (direct or sub-contracted) required to **deposit** money or identity papers prior to taking up employment? ❒ Yes ❒ No
7. During the last 12 months, what percentage of the workers employed at your facility were forced or **involuntary** labourers, including prisoners or bonded workers? ❒ none ❒ less than 25% ❒ 25% to 50% ❒ more than 50%
8. Does your facility have a policy and procedure allowing workers to **resign with no penalty** after giving reasonable notice? ❒ none ❒ planned ❒ partial ❒ in place
9. Do your workers receive a clear explanation of the rules and procedures for giving **notice of resignation** and receiving their final payment? ❒ Yes ❒ Partially ❒ No
10. Do you have a procedure to verify that your **suppliers** do not use forced labour? ❒ none ❒ planned ❒ partial ❒ in place

FL5. Child Labour Avoidance

1. Do you have **personnel records** including evidence of the birth date of each worker?
   ❒ Yes   ❒ No

2. If "Yes", what evidence do you hold?   (check all that apply)
   ❒ Birth certificate   ❒ Family book   ❒ ID card   ❒ Medical certificate
   ❒ Ration book   ❒ School diploma   ❒ Other:

2. 1. Please describe other: [   ]

3. Does your facility use an **external source** (e.g., labour agency, police department) to verify workers' ages?
   ❒ Yes   ❒ No

4. Please enter the legal **minimum ages** of employment for workers in the country/province/region where your facility is located:

   a) to perform light work
   ❒ Less than "16"   ❒ "16"   ❒ "17"   ❒ "18" or higher

   b) to perform routine work
   ❒ Less than "16"   ❒ "16"   ❒ "17"   ❒ "18" or higher

   c) to perform hazardous work
   ❒ Less than "16"   ❒ "16"   ❒ "17"   ❒ "18" or higher

5. During the last 12 months, have any persons below these minimum employment ages **applied** for a job at your facility? (Do not include interns or apprentices.)
   ❒ Yes   ❒ No (skip to Question 7)

6. If "Yes", have you **retained records** of the job applications of these under-age persons?
   ❒ Yes   ❒ No

7. During the last 12 months, has your facility hired or utilised any persons under **apprenticeship** or vocational training programmes?
   ❒ Yes   ❒ No (skip to Question 9)

8. If "Yes", what was the minimum age of these workers?
   ❒ Less than "16"   ❒ "16"   ❒ "17"   ❒ "18" or higher

9. Does your facility employ **young workers** (over the legal minimum age but under 18)?
   ❒ Yes   ❒ No (skip to Question 12)

10. If "Yes", what percentage of your workforce is under 18?   **%**
    ❒ None   ❒ 0-5%   ❒ 5-10%   ❒ 10-25%   ❒ Greater than 25%

11. Does your facility ensure that young workers do not perform night work or **hazardous** work?
    ❒ Yes   ❒ No

12. Does your facility have a system or procedure for **discovering** workers below minimum age and taking corrective actions?
    ❒ none   ❒ planned   ❒ partial   ❒ in place

13. Does your facility have a documented procedure to verify that your **suppliers** do not use child labour?

❏ none ❏ planned ❏ partial ❏ in place

この段には "Labour and Ethics" という小見出しがある。

Labour and Ethics

FL6. Working Hours

1. Is there a legal limit on total working hours in the country or region where your facility operates?
❑ Yes   ❑ No (skip to Question 5)

2. If "Yes, please enter the legal limits:	Regular hours:	per: ❑ day ❑ week ❑ month
	Overtime hours:	per: ❑ day ❑ week ❑ month

3. Does your facility receive a **waiver** from local authorities that permits some workers to exceed the above legal limits?
❑ Yes   ❑ No (skip to Question 5)

4. If "Yes", please explain the reason for the waiver.	

5. Does your facility place a **limit** on the number of hours that workers can work? (if "Yes" please state the **limits**)
a. Per Day ?   ❑ Yes   ❑ No
1. Limit:
b. Per Week?   ❑ Yes   ❑ No
1. Limit:
c. Per Month ?   ❑ Yes   ❑ No
1. Limit:

6. Do all your workers have regular **rest days** (at least one during every seven-day period)?
❑ Yes (skip to Question 8)   ❑ No

7. If "No", please **explain** why not.	

8. Do your workers have regular **breaks** during their working hours?
❑ Yes   ❑ No

9. Do some of the workers at your facility perform **overtime** work?
❑ Yes   ❑ No (skip to Question 11)

10. If "Yes", on what basis do workers **accept** overtime work?
(check all that apply)
❑ voluntary   ❑ required

11. Do your workers review and sign a **time slip** for each pay period in the local or appropriate language(s) confirming that the hours they worked are accurate?
❑ Yes   ❑ No

FL7. Wages and Benefits

1. Is there a legal **minimum wage** requirement in the country, region, or locality where your facility operates?	
❐ Yes ❐ No (skip to Question 5)	

2. If "Yes, please enter the minimum wage in U.S. dollars per hour:	$
in the local currency:	

3. Do **any workers** at your facility receive less than the minimum wage?

❐ Yes (explain) [   ] ❐ No

4. Which of the following items are **included** in your facility's wage calculation?

(check all that apply)

❐ Room and board   ❐ Recruitment fee
❐ Transportation provided   ❐ Uniforms provided
❐ Government benefit costs   ❐ Food allowance
❐ Skill allowance   ❐ Attendance allowance
❐ None   ❐ Other

4. a. Other costs: (describe) [   ]

5. Do your workers receive **written employment conditions,** including terms of payment and government deductions, employer-provided housing, food, and disciplinary fines, upon hire?

❐ Yes   ❐ No

6. Does your facility use **labour agencies** to employ temporary contract workers?

❐ Yes   ❐ No

7. If "Yes", do you have procedures for **verifying** and continually monitoring these labour agencies to ensure that fees, wages and deductions conform to local and national law?

❐ none   ❐ planned   ❐ partial   ❐ in place

8. Do you pay **newly hired** workers less than the minimum wage during their apprenticeship or training period?

❐ Yes   ❐ No

9. Do you have a **system** for establishing worker wages that considers the type of work, market wages, and the legal minimum wage?

❐ none   ❐ planned   ❐ partial   ❐ in place

10. Do you pay workers for **overtime hours** in addition to regular working hours?

❐ Yes   ❐ No   (skip to Question 12)

11. If "Yes", what is the rate of **overtime pay** compared to regular time pay?
(Select the best answer which matches your lowest rate of overtime paid.)

❐ less than regular time   ❐ equal to regular time

❐ more than regular time, but less than time-and-a-half

❐ equal to, or between time-and-a-half, and, double time

❐ equal to double-time or more

12. Are any of your workers paid according to a **piece rate** rather than an hourly rate?
❐ Yes   ❐ No
13. Do all your workers receive **clear information** in the local or appropriate language(s) about how their actual wages are calculated?
❐ Yes   ❐ No

FL8. Humane Treatment

1. Does your facility have **written rules** and regulations in the local or appropriate language(s) that describe acceptable worker practices and disciplinary measures if these practices are not followed?	
❒ Yes	❒ No

2. If employees or workers break company rules, does your facility management have a procedure for issuing **warnings** to them?	
❒ Yes	❒ No

3. Does your facility use any of the following as a **disciplinary** measure?

Fines	❒ Yes	❒ No
Payroll deductions	❒ Yes	❒ No
Termination	❒ Yes	❒ No
Suspension	❒ Yes	❒ No
Other	❒ Yes	❒ No
Other (please describe)		

4. Does your facility prohibit physical **punishment** of workers as a disciplinary measure?	
❒ Yes	❒ No

5. Does your facility have procedures in place for prevention of **harassment,** coercion, threatening behaviour, physical abuse, sexual abuse, or verbal abuse toward workers?

❒ none   ❒ planned   ❒ partial   ❒ in place

6. Does your facility have a process for workers to **confidentially** report cases of harassment, coercion, threatening behaviour, physical abuse, sexual abuse, or verbal abuse?

❒ none   ❒ planned   ❒ partial   ❒ in place

7. Does your facility have procedures to **investigate** such cases if they arise and to discipline workers that commit acts of harsh or inhumane treatment against workers?

❒ none   ❒ planned   ❒ partial   ❒ in place

8. During the last 12 months, how many such cases **occurred** at your facility?

❒ none   ❒ 1 to 10   ❒ more than 10

FL9. Non-Discrimination

1. Does your facility require job **applicants** to provide any of the following information?						
Ethnic origin	❐ Yes	❐ No	Date of birth		❐ Yes	❐ No
Religion	❐ Yes	❐ No	Medical history		❐ Yes	❐ No
Political affiliation	❐ Yes	❐ No	Sexual orientation		❐ Yes	❐ No
Marital status	❐ Yes	❐ No	Physical disability		❐ Yes	❐ No
Pregnancy status	❐ Yes	❐ No	Union membership		❐ Yes	❐ No

2. Do you have written policies and guidelines to **prevent discrimination** in hiring, promotion, equal pay, benefits, and training based on any of the above characteristics as well as race, color, age, and gender?

  ❐ Yes   ❐ No (skip to Question 4)

3. If "Yes", are **records** kept to confirm adherence to these guidelines?

  ❐ Yes   ❐ No

4. Do your facility's **job postings** include statements of non-discrimination?

  ❐ Yes   ❐ No

5. Is the **ethnic composition** of your workforce similar to the local population?

  ❐ Yes (skip to Question 7)   ❐ No

6. If "No", please **explain** the reason for the difference.

7. What percentage of the workers at your facility are **women**?

  ❐ none   ❐ less than 25%   ❐ 25% to 50%   ❐ 50% to 75%   ❐ more than 75%

8. Is your facility equipped with accommodations for **disabled persons** (e.g., access to worksites, use of toilets, elevators, cafeteria, etc.)?

  ❐ Yes   ❐ Partially   ❐ No

9. Does your facility conduct **pregnancy testing** for female workers?

  ❐ Yes   ❐ No

10. If "Yes", please **explain** the reason for the testing.

11. Does your facility place limitations on employment, utilisation or promotion of **pregnant** female workers (apart from restrictions related to their health and safety)?

  ❐ Yes   ❐ No

12. During the last 12 months, were any workers **removed from their jobs** while on sick or maternity leave, pregnant, or breast-feeding?

  ❐ Yes   ❐ No

FL10. Freedom of Association

1. Are there any legal restrictions or prohibitions concerning workers creating or joining any **labour organisations** in the country/region where your facility operates?

    ❐ Yes   ❐ No   (skip to Question 3)

2. If "Yes", please **explain** these restrictions.

3. Which, if any, of the following types of labour organisations are **present and active** at your facility? (If no labour organizations are present, please skip Questions 5, 7, and 10)

    (check all that apply)

    ❐ None   ❐ Independent trade union   ❐ Workers' committee

    ❐ Health and safety committee   ❐ Dormitory committee   ❐ Government union

    ❐ Other:

4. Other than through a labour organization, does your facility have a process for workers to **communicate openly** with each other and with management regarding their collective views and interests?

    ❐ none   ❐ planned   ❐ partial   ❐ in place

5. If trade unions are present, does your facility have any **formal agreements** in place with the union(s)?

    ❐ Yes   ❐ No

6. Are workers at your facility **free to join** trade unions or other collective bargaining organisations of their choice?

    ❐ Yes   ❐ No

7. Do workers at your facility participate **democratically** in the selection of representatives for labour organisations?

    ❐ Yes   ❐ No

8. Does your facility management require workers to provide information about their **membership** in labour or other organisations related to worker rights?

    ❐ Yes   ❐ No

9. During the last 12 months, were any workers **disciplined** or in any way penalised for:

    9. a. Joining any organisation?   ❐ Yes   ❐ No

    9. b. Refusing to join or quitting any organisation?   ❐ Yes   ❐ No

10. At a minimum, **how often** does your facility management meet with representatives of labour organisations?

    ❐ Weekly   ❐ Monthly   ❐ Quarterly

    ❐ Annually   ❐ Never

FL11. Ethical Business Practices

1. Does your facility have a programme and/or procedures in place to **prevent corruption**, including bribery, excessive gift-giving, extortion, or embezzlement? ❒ none (skip to Question 3)　　　❒ planned　　　❒ partial　　　❒ in place
2. Does your facility have a programme and/or procedures in place to prevent corruption, including bribery, excessive gift-giving, extortion, or embezzlement, on the part of suppliers, **contractors, or agents** representing the facility? ❒　Yes　　　　　　　❒　No　　　　　　❒　N/A
3. Does your facility have a programme and/or procedures to ensure that required standards of **fair business**, including advertising and competitive marketing, are upheld? ❒ none　❒ planned　❒ partial　❒ in place　❒ done at company level
4. Does your facility have a programme and/or procedures to detect, eliminate, and prohibit situations in which managers or workers have a **potential conflict** between the company's interests and their own? ❒ none　❒ planned　❒ partial　❒ in place　❒ done at company level
5. Does your facility have a programme and/or procedures to ensure **accurate disclosure** of information regarding business activities, structure, financial situation, and performance in accordance with applicable regulations? ❒ none　❒ planned　❒ partial　❒ in place　❒ done at company level
6. Does your facility have a programme and/or procedures to assure **non-disclosure** of sensitive or confidential information about customers, channel partners, suppliers, workers, and other business partners in accordance with applicable laws and regulations? ❒ none　❒ planned　❒ partial　❒ in place　❒ done at company level
7. Has your facility implemented a written procedure for workers to **report** about discrimination, ethical violations, harsh treatment, or other issues without threat of reprisals? ❒ none　　　❒ planned　　❒ partial　　❒ in place
8. Has your facility implemented a programme and/or procedures to **protect the identity** of workers that report suspected cases of ethical or legal misconduct? ❒ none　　　❒ planned　　❒ partial　　❒ in place
9. Has your facility implemented a process for **investigating** reports of ethical or legal misconduct and for taking disciplinary actions? ❒ none　　　❒ planned　　❒ partial　　❒ in place
10. During the last 12 months, how many confidential **notifications** regarding ethical or legal violations were investigated at your facility? ❒ none　　　❒ 1 to 5　　❒ 5 to 10　　❒ more than 10

FL12. Facility Labour/Ethics Management System Status

1. a. Does your facility utilise or is it developing a management systems approach (including policies, programmes, procedures, and review processes) to assure proper management of Labour practices? (Report company-wide management systems in the Corporate Questionnaire.) ❐ Yes ❐ No	

1. a. Does your facility utilise or is it developing a management systems approach (including policies, programmes, procedures, and review processes) to assure proper management of Labour practices?

(Report company-wide management systems in the Corporate Questionnaire.)

❐ Yes   ❐ No

1. b. Does your facility utilise or is it developing a management systems approach (including policies, programmes, procedures, and review processes) to assure proper management of Ethics practices?

(Report company-wide management systems in the Corporate Questionnaire)

❐ Yes   ❐ No

2. Do you have a site-specific management system registered to SA 8000, Ethical Trading Initiative, or other recognised codes of social conduct?

(Report company-wide management systems in the Corporate Questionnaire)

❐ Yes   ❐ No

3. If "Yes", please provide the information below, and **attach*** a copy of the certificate.

Type of certificate:	
Certificate number:	
Date of issue:	
Certifier:	

Attach a copy of the certificate.

4. a. For your **labour** management systems please indicate the **level of implementation** of the programmes and procedures for each item below.

Labour

	none	planned	partial	in place
a. 1. Freely chosen employment	❐ none	❐ planned	❐ partial	❐ in place
a. 2. Child labour avoidance	❐ none	❐ planned	❐ partial	❐ in place
a. 3. Working hours	❐ none	❐ planned	❐ partial	❐ in place
a. 4. Wages and benefits	❐ none	❐ planned	❐ partial	❐ in place
a. 5. Humane treatment	❐ none	❐ planned	❐ partial	❐ in place
a. 6. Non-discrimination	❐ none	❐ planned	❐ partial	❐ in place
a. 7. Freedom of association	❐ none	❐ planned	❐ partial	❐ in place

4. b. For your **ethics** management systems please indicate the **level of implementation** of the programmes and procedures for each item below.

Ethics

b. 1. Business integrity	❐ none	❐ planned	❐ partial	❐ in place
b. 2. No improper advantage	❐ none	❐ planned	❐ partial	❐ in place
b. 3. Disclosure of information	❐ none	❐ planned	❐ partial	❐ in place
b. 4. Intellectual property	❐ none	❐ planned	❐ partial	❐ in place
b. 5. Fair business practices	❐ none	❐ planned	❐ partial	❐ in place
b. 6. Protection of identity	❐ none	❐ planned	❐ partial	❐ in place

5. a. To what extent are the above labour management system(s) **documented**?

❐ not at all   ❐ partially   ❐ completely   ❐ completely and updated regularly

5. b. To what extent are the above ethics management system(s) **documented**?

❐ not at all   ❐ partially   ❐ completely   ❐ completely and updated regularly

6. a. How often does the management of your facility **periodically review** the status of the above labour management system(s) and identify improvement opportunities?

❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year

7. a. What was the date of the last labour management review, if any?	

6. b. How often does the management of your facility **periodically review** the status of the above ethics management system(s) and identify improvement opportunities?

❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year

7. b. What was the date of the last ethics management review, if any?	

FL13. Labour/Ethics Management System Elements

1. a. Has your facility established a **tracking system** to identify and monitor **labour** laws and regulations that apply to your facility?

       ❐ Yes   ❐ No

1. b. Has your facility established a **tracking system** to identify and monitor **ethics** laws and regulations that apply to your facility?

       ❐ Yes   ❐ No

2. a. Please indicate the methods and sources used to track Labour laws and regulations.

                     (check all that apply)

     ❐ information subscription   ❐ consulting services   ❐ industry associations

     ❐ regulatory agencies   ❐ in-house specialists   ❐ other:

2. a. 1. Other (Please describe): _____

2. b. Please indicate the methods and sources used to track Ethics laws and regulations.

                     (check all that apply)

     ❐ information subscription   ❐ consulting services   ❐ industry associations

     ❐ regulatory agencies   ❐ in-house specialists   ❐ other:

2. b. 1. Other (Please describe): _____

3. a. Does your facility have written **performance objectives** for **labour** practices, including metrics and targets with implementation plans for achieving them?

       ❐ Yes   ❐ No

   If "Yes", please **attach** the objectives for the **current year**.

3. b. Does your facility have written **performance objectives** for **ethical** practices, including metrics and targets with implementation plans for achieving them?

       ❐ Yes   ❐ No

   If "Yes", please **attach** the objectives for the **current year**.

4. a. How often does your facility **review performance** against Labour objectives and targets?

     ❐ never   ❐ irregularly   ❐ every 1 to 2 years   ❐ several times per year

5. a. Please indicate the **date** of the last review: _____

4. b. How often does your facility **review performance** against Ethics objectives and targets?

     ❐ never   ❐ irregularly   ❐ every 1 to 2 years   ❐ several times per year

5. b. Please indicate the **date** of the last review: _____

6. a. Has your facility implemented a **risk assessment** process to identify, prioritise, and mitigate the potential labour risks associated with your operations and activities?

     ❐ none   ❐ planned   ❐ partial   ❐ in place   ❐ done at company level

6. b. Has your facility implemented a **risk assessment** process to identify, prioritise, and mitigate the potential business ethics risks associated with your operations and activities?

❏ none   ❏ planned   ❏ partial   ❏ in place   ❏ done at company level

7. Has your facility implemented a programme to assess risks and manage the identified risks relating to the labour and ethics practices of your **suppliers**?

❏ none   ❏ planned   ❏ partial   ❏ in place   ❏ done at company level

8. a. Does your facility receive **periodic audits** of **labour** practices in order to assess conformance with regulatory and other requirements?

❏ Yes   ❏ No

9. a.   Please indicate what types of requirements are covered in the audit process for Labour practices. (select one or more)

❏ regulations   ❏ internal requirements   ❏ external codes of conduct

8. b. Does your facility receive **periodic audits** of **ethical** practices in order to assess conformance with regulatory and other requirements?

❏ Yes   ❏ No

9. b. Please indicate what types of requirements are covered in the audit process for Ethical practices. (select one or more)

❏ regulations   ❏ internal requirements   ❏ external codes of conduct

10. During the last 12 months, has your facility received a labour or ethical practices audit or assessment by a customer or other **external** organisation at any of your facilities?

❏ Yes   ❏ No

11. What type of organisation performed the audit? (customer, NGO, government, other)

12. Does your facility have a process to implement timely **corrective actions** for labour or ethical deficiencies identified by internal or external assessments, audits, and reviews?

❏ none (skip to Question 14)   ❏ planned   ❏ partial   ❏ in place

13. Does the corrective action process include **root cause** analysis and prevention?

❏ Yes   ❏ No

14. Does your facility provide clear and simple **written regulations** to all employees and workers in the local or appropriate language(s), establishing rights, requirements and responsibilities for labour and ethical practices in accordance with company policy?

❏ Yes   ❏ No

15. a. Does your facility provide **training programmes** for **labour** practices?

❏ Yes   ❏ No

15.   b. Does your facility provide **training programmes** for **ethical** practices?

❏ Yes   ❏ No

16. a. Does your facility have a process for measuring the **effectiveness** of its training for Labour practices?

❒ none ❒ planned ❒ partial ❒ in place

16. b. Does your facility have a process for measuring the **effectiveness** of its training for Ethical practices?

❒ none ❒ planned ❒ partial ❒ in place

17. To which of the following **external groups** does your facility communicate information about its labour and ethical performance, practices and expectations?

(check all that apply)

❒ suppliers ❒ customers ❒ communities ❒ investors

❒ government ❒ general public ❒ other: [   ]

❒ done at company level

18. What **methods** are used to communicate externally about labour and ethical practices?

(check all that apply)

❒ in-person meetings ❒ published reports ❒ website

OPTIONAL:

Please attach a description of your facility management system for a selected aspect of Labour/Ethics performance.

Health, Safety and Environmental Management

FH1. Facility Contact Information for Health, Safety and Environment

1. Company Name:	
2. Facility Name:	
3. Facility Address:	
4. Contact Name:	
5. Contact Position / Title:	
6. Contact Telephone Number:	
7. Contact Fax Number:	
8. Contact Email:	
9. Contact Address: (if different from facility address)	
10. Date of submission:	

FH2. Management Accountability and History for HS&E

1. Is a **management representative** at this facility assigned responsibility for assuring and facilitating compliance with **health and safety** laws, regulations and codes?
❏   Yes   ❏   No

2. If "Yes," please provide his or her contact information below.

Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

3. Is a **management representative** at this facility assigned responsibility for assuring and facilitating compliance with **environmental** laws, regulations and codes?
❏   Yes   ❏   Yes, same individual as above   ❏   No

4. If "Yes," please provide his or her contact information below.

Name:	
Position / Title:	
Address:	
Telephone Number:	
Fax Number:	
Email:	

5. During the past 3 years, has the facility been **prosecuted or cited** for health, safety, or environmental violations resulting in penalties or corrective actions mandated by a court or government authority?
❏   Yes   ❏   No   (skip to Section FH3)
If "Yes", please **attach*** a brief description of each such prosecution or citation, including the penalties imposed, the corrective actions taken, and the current status or results.

Attachments:

Please clearly label all supporting attachments with the Question number (e.g., FH2.5) to which they refer. Attachments can be separate files, or can be combined into a single file. See the **last page** of this questionnaire for a summary of attachments requested.

FH3. Health, Safety and Environmental (HS&E) Policy & Procedures

1. a. Does your facility adhere to a written Occupational Health and Safety policy (or statement of commitment)?

      ❐ Yes   ❐ No

Please attach the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.) Note: The company-wide HSE policy is addressed in the Corporate Questionnaire.

1. b. Does your facility adhere to a written Environmental policy (or statement of commitment)?

      ❐ Yes   ❐ No

Please attach the policy statement. (In the absence of a formal policy, you may assert a commitment to compliance with specific standards or legal requirements.) Note: The company-wide HSE policy is addressed in the Corporate Questionnaire.

2. a. For each item below, please check the box if it is **included** in the scope of your **health and safety** policy or supporting rules and procedures:

Health and Safety

❐ **Occupational safety**   (e.g., control of hazardous conditions and potential accidents)

❐ **Emergency preparedness**   (e.g., planning, preparation, detection, and incident response)

❐ **Occupational Injury/Illness**   (e.g., reporting, treatment, counseling, case management)

❐ **Industrial hygiene**   (e.g., control of exposure to chemicals and other agents)

❐ **Physically demanding work** (e.g., heavy lifting, prolonged repetitive or forceful tasks)

❐ **Machine safeguarding**   (e.g., physical guards, interlocks, and protective barriers)

❐ **Living conditions**   (e.g., dormitory and canteen conditions, sanitation, safety)

2. b. For each item below, please check the box if it is **included** in the scope of your **environmental** policy or supporting rules and procedures:

Environmental

❐ **Environmental permits**   (e.g., permit registration, maintenance, compliance reporting)

❐ **Pollution prevention**   (e.g., energy and resource conservation, waste reduction)

❐ **Hazardous substances**   (e.g., material handling, storage, recycling, disposal, spill control)

❐ **Wastewater & solid waste** (e.g., waste stream monitoring, control, treatment, disposal)

❐ **Airborne emissions**   (e.g., emission characterisation, monitoring, control, mitigation)

❐ **Product content**   (e.g., controlled materials, disclosure, testing, recycled content)

3. a. For each item below, please indicate whether your **health and safety** policies and procedures are **communicated** clearly to workers in the local or appropriate language(s).

Health and Safety

a. 1. **Occupational safety**   ❐ Yes   ❐ No

a. 2. **Emergency preparedness**   ❐ Yes   ❐ No

a. 3. **Occupational Injury/Illness**   ❐ Yes   ❐ No

a. 4. **Industrial hygiene**   ❐ Yes   ❐ No

a. 5. **Physically demanding work**   ❐ Yes   ❐ No

a. 6. **Machine safeguarding**   ❐ Yes   ❐ No

a. 7. **Living conditions**   ❐ Yes   ❐ No

3. b. For each item below, please indicate whether your **environmental** policies and procedures are **communicated** clearly to workers in the local or appropriate language(s).

Environmental

b. 1. **Environmental permits**	❐ Yes	❐ No
b. 2. **Pollution prevention**	❐ Yes	❐ No
b. 3. **Hazardous substances**	❐ Yes	❐ No
b. 4. **Wastewater & solid waste**	❐ Yes	❐ No
b. 5. **Airborne emissions**	❐ Yes	❐ No
b. 6. **Product content**	❐ Yes	❐ No

4. What **communication methods** are used to inform workers about your policies and procedures?

(check all that apply)

❐ website or electronic mail   ❐ postings on bulletin boards   ❐ handbooks or literature

❐ meetings with managers   ❐ formal training sessions   ❐ other: _____

5. a. Do you place a contractual requirement on your **suppliers** (including contractors) to be in compliance with **health and safety** laws, regulations, or codes of conduct?

❐ Yes   ❐ No

5. b. Do you place a contractual requirement on your **suppliers** (including contractors) to be in compliance with **environmental** laws, regulations, or codes of conduct?

❐ Yes   ❐ No

6. a. Do you expect your suppliers to adopt **voluntary health and safety standards** or codes of conduct?

❐ Yes   ❐ No

7. a. Please state the applicable Health and Safety standard(s) or code(s):

6. b. Do you expect your suppliers to adopt **voluntary environmental standards** or codes of conduct?

❐ Yes   ❐ No

7. b. Please state the applicable Environmental standard(s) or code(s):

The following series of questions (FH4 to FH14) deal with each HS&E item listed in Question 2 above. Sections FH15 and FH16 address your HS&E management systems.

FH4. Occupational Safety and Machine Safeguarding

1. Do your facility operations involve any of the following processes or **activities**?	

1. 1.	Use of flammable or corrosive chemicals/gases	❐ Yes		❐ No	
1. 2.	Exposure to high temperatures	❐ Yes		❐ No	
1. 3.	Exposure to electricity	❐ Yes		❐ No	
1. 4.	Use of powered industrial vehicles	❐ Yes		❐ No	
1. 5.	Exposure to high-pressure vessels	❐ Yes		❐ No	
1. 6.	Use of dangerous machinery	❐ Yes		❐ No	
1. 7.	Worker entry into confined spaces	❐ Yes		❐ No	

2. Does your facility have procedures in place for safeguarding of workers from potentially **hazardous machinery**, including barriers, interlocks, and periodic inspections?

❐ none   ❐ planned   ❐ partial   ❐ in place

3. Does your facility provide **protective equipment** (e.g., safety glasses, hard hats, gloves) to workers exposed to potential hazards?

❐ Yes   ❐ No

4. Does your facility have procedures in place for identifying, evaluating, and controlling general **safety hazards** (e.g., electrical, fire, vehicles, slips, trips and fall hazards)?

❐ none   ❐ planned   ❐ partial   ❐ in place

5. Does your facility provide occupational and process safety **training** to workers?

❐ Yes   ❐ No

FH5. Emergency Preparedness

1. Has your facility identified and assessed **potential emergency situations** such as process failures, accidents, storms, floods, or other events that pose a threat to humans or the environment?	
❑ Yes ❑ No (skip to Question 4)	

2. Has your facility developed and implemented an **emergency preparedness and response** programme to minimise the impact of the identified emergency events?

❑ none ❑ planned ❑ partial ❑ in place

3. Please indicate whether your emergency programme includes these **elements**:

3. 1.	Alarm systems	❑ Yes	❑ No
3. 2.	Evacuation procedures and routes	❑ Yes	❑ No
3. 3.	Properly marked exit signs	❑ Yes	❑ No
3. 4.	Emergency lighting	❑ Yes	❑ No
3. 5.	Qualification and training of responders	❑ Yes	❑ No
3. 6.	Emergency response drills	❑ Yes	❑ No
3. 7.	Identification of hazardous releases or exposures	❑ Yes	❑ No
3. 8.	Procedures for hazard control and containment	❑ Yes	❑ No
3. 9.	Procedures for use of protective equipment	❑ Yes	❑ No
3. 10.	Procedures for clean-up and decontamination	❑ Yes	❑ No
3. 11.	Procedures for external communication and reporting	❑ Yes	❑ No

4. Which of the following **firefighting aids** are available for immediate use at your facility?

(check all that apply)

❑ fire hoses ❑ extinguishers ❑ sprinkler system ❑ on-site fire brigade

5. Are **emergency medical supplies** placed in convenient locations at the facility for immediate use?

❑ Yes ❑ No

6. Are fire and emergency **instructions** for workers posted in convenient locations at the facility in the local or appropriate language(s)?

❑ Yes ❑ No

7. Does your facility have a programme to **cooperate with local authorities**, including fire and police, in order to manage emergencies and assure public safety?

❑ none ❑ planned ❑ partial ❑ in place

8. During the last 12 months, have there been any fires, explosions, industrial accidents, hazardous releases, or other HS&E-related **incidents** at your facility?

❑ Yes ❑ No (skip to Question 9)

If "Yes", please **attach** a brief description of these incidents, including any resulting human injuries, fatalities, off-site impacts, or property damage.

9. During the last 12 months, has there been an emergency evacuation **drill** at your facility?

❑ Yes ❑ No

FH6. Occupational Injury/Illness and Physically Demanding Work

1. Does your facility have **written guidance** that defines and classifies different types of work-related injuries and illnesses?
❒ none ❒ planned ❒ partial ❒ in place
2. Does your management encourage workers to **report** all work-related injuries or illnesses?
❒ Yes ❒ No
3. Does your facility have a programme of **insurance** to compensate for the medical costs of work-related injuries or illnesses?
❒ none ❒ planned ❒ partial ❒ in place
4. Does your facility have a programme to manage **occupational injuries and illnesses**, including treatment of reported cases, investigation, record-keeping, and returning workers to work as soon as they are physically ready?
❒ none ❒ planned ❒ partial ❒ in place
5. Does your facility have a programme to control worker exposure to **physically demanding** work, (e.g., heavy lifting and highly repetitive assembly) to prevent work-related injuries?
❒ none ❒ planned ❒ partial ❒ in place
6. Does your facility have a programme to provide regular **medical examinations** for workers and to detect any symptoms of work-related illnesses or injuries?
❒ none ❒ planned ❒ partial ❒ in place
7. During the last 12 months, how many worker **injuries** have occurred at your facility, including work-related and other types of incidents?
❒ none ❒ 1 to 5 ❒ 6 to 10 ❒ more than 10
8. During the last 12 months, how many work-related **illnesses** have been reported by workers at your facility?
❒ none ❒ 1 to 5 ❒ 6 to 10 ❒ more than 10
9. During the last 2 years, have there been any similar work-related illnesses reported by **multiple workers** at your facility?
❒ Yes ❒ No

FH7. Industrial Hygiene

1. Does the potential exist for workers at your facility to be **exposed** to any of the following while at work?	

1. 1 Process emissions (e.g. fumes, vapors, mists, dust)   ❒ Yes   ❒ No
1. 2. Other airborne emissions (e.g., exhaust, cleaning agents)   ❒ Yes   ❒ No
1. 3. Skin or oral contact with chemicals (e.g. solvents, epoxies)   ❒ Yes   ❒ No
1. 4. Ionising and non-ionising radiation (e.g. x-rays, microwaves)   ❒ Yes   ❒ No
1. 5. Known chronic disease agents (e.g., lead, asbestos)   ❒ Yes   ❒ No
1. 6. Prolonged high-decibel noise   ❒ Yes   ❒ No

1. 7. If you answered "no" to all of these, please give further explanation below

   1. 7. 1. Please explain why none of these exposures are possible at your facility.

2. Does your facility have a programme and/or procedures in place to **monitor and evaluate** worker exposures to chemical, physical or biological agents?

   ❒ none   ❒ planned   ❒ partial   ❒ in place

3. Does your facility have a programme to implement **controls** (e.g., alternative materials and processes, ventilation hoods, time limits, job rotation) in order to reduce or eliminate worker exposure to chemical, biological and physical agents?

   ❒ none   ❒ planned   ❒ partial   ❒ in place

4. Does your facility provide **protective equipment** (e.g., respirators, gloves, ear plugs) to workers exposed to chemical, biological and physical agents?

   ❒ Yes   ❒ No

   ❒ Exposure level does not require protective equipment

5. Does your facility provide **training** to workers on the above industrial hygiene issues?

   ❒ Yes   ❒ No

6. Does your facility make available **Material Data Safety Sheets** (MSDS) or Chemical Data Sheets to workers that handle chemicals, written in the local or appropriate languages?

   ❒ Yes   ❒ No

FH8. Living Conditions

1. Does your facility provide **dormitory** housing for its workers?
❑ Yes ❑ No (skip to Question 8)
1. a. Are your workers required to live in a dormitory?
❑ Required for All ❑ Required for Some ❑ No, they can choose
1. b. Does your facility allow workers to **freely leave** the factory or dormitory area while off shift?
❑ Yes ❑ No
1. c. Does your facility impose a **curfew** on workers living in the dormitory?
❑ Yes ❑ No
2. What is the average **number of persons** per 10 square meters in a dormitory?
❑ 1 to 3 ❑ 3 to 6 ❑ 6 to 12 ❑ more than 12
3. Are workers provided with **extra living space** in addition to their beds?
❑ Yes ❑ No
4. Are **beds shared** between day and night shift workers?
❑ Yes ❑ No
5. Are there **separate accommodations** for the following groups?
(check all that apply)
❑ single men and women ❑ married couples ❑ families with children

6. Please indicate whether the **dormitory** housing provides the following:

6. 1.	Safe drinking water	❑ Yes	❑ No
6. 2.	Clean and sanitary toilet facilities	❑ Yes	❑ No
6. 3.	Fire detection and alarm systems	❑ Yes	❑ No
6. 4.	Fire suppression systems	❑ Yes	❑ No
6. 5.	Adequate ventilation and heating	❑ Yes	❑ No
6. 6.	Adequate exit facilities, unblocked and unlocked	❑ Yes	❑ No
6. 7.	Secure storage for personal belongings	❑ Yes	❑ No

7. Does your facility have a process to assure that the dormitory facilities are in **compliance** with company standards and local health and safety codes, including maintenance, inspection, and corrective action if deficiencies are identified?
❑ none ❑ planned ❑ partial ❑ in place ❑ N/A
8. Does your facility provide or contract for **canteen** services for workers?
❑ Yes ❑ No (skip to Section FH9)

9. Please indicate whether the **canteen** provides the following:		
9. 1 Safe drinking water	❒ Yes	❒ No
9. 2. Clean and sanitary food storage	❒ Yes	❒ No
9. 3. Clean and sanitary food preparation	❒ Yes	❒ No
9. 4. Health standards for food handlers	❒ Yes	❒ No
9. 5. Health and nutrition standards for food offerings	❒ Yes	❒ No

10. Does your facility have a process to assure that the canteen facilities are in **compliance** with company standards and local health and safety codes, including maintenance, inspection, and corrective action if deficiencies are identified?

❒ none   ❒ planned   ❒ partial   ❒ in place

FH9. Environmental permits

1.	Please indicate which of the following **permits** are required for your facility operations.			
1. 1.	Chemical handling and/or storage	❐ Yes	❐ No	
1. 2.	Chemical and other waste treatment	❐ Yes	❐ No	
1. 3.	Industrial wastewater discharge	❐ Yes	❐ No	
1. 4.	Sanitary wastewater discharge	❐ Yes	❐ No	
1. 5.	Airborne emissions	❐ Yes	❐ No	
1. 6.	Radioactive materials and/or equipment	❐ Yes	❐ No	
1. 7.	Storage tanks of any type	❐ Yes	❐ No	

2. Does your facility have a **programme** and/or procedures for obtaining environmental permits and managing compliance with the permit requirements?

   ❐ none   ❐ planned   ❐ partial   ❐ in place

3. Are your facility operations currently in **compliance** with all local and national monitoring, reporting and other permit requirements?

   ❐ partially compliant   ❐ fully compliant   (skip to Question 5)

4. If "partially compliant", please explain why.

5. How frequently is your facility **inspected** by government authorities to confirm compliance with environmental permits?

   ❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year

6. During the last 12 months, was your facility **cited** or warned by a government agency regarding permit non-compliance issues?

   ❐ Yes   ❐ No

   If "Yes", please **describe** the nature of the citation and the resulting actions taken:

FH10. Pollution prevention

1. Does your facility have a programme and/or procedures to systematically reduce or eliminate **pollution and waste** in your operations?
❐ Yes ❐ No (skip to Question 3)

2. If "Yes", which of the following **pollution prevention** methods are used?

2. 1.	Dematerialisation (e.g., digital technology)	❐ Yes	❐ No
2. 2.	Material source reduction	❐ Yes	❐ No
2. 3.	Solvent re-use or elimination	❐ Yes	❐ No
2. 4.	Green chemistry (e.g., benign synthesis)	❐ Yes	❐ No
2. 5.	Process waste and emission minimisation	❐ Yes	❐ No
2. 6.	Product or process life cycle management	❐ Yes	❐ No
2. 7.	Conversion of wastes to economic byproducts	❐ Yes	❐ No
2. 8.	Packaging reduction, recycling, or elimination	❐ Yes	❐ No
2. 9.	Reduction in global warming gas (GWG) emissions	❐ Yes	❐ No

3. Does your facility have a programme and/or procedures to systematically reduce the use of energy, water, and other **resources** in your operations?
❐ Yes ❐ No (skip to Question 5)

4. If "Yes", which of the following **resource reduction** methods are used?

4. 1.	Reduction in electricity consumption	❐ Yes	❐ No
4. 2.	Improvement in energy efficiency of processes	❐ Yes	❐ No
4. 3.	Renewable energy generation (e.g., wind, solar)	❐ Yes	❐ No
4. 4.	Waste heat capture and/or co-generation	❐ Yes	❐ No
4. 5.	Solar lighting and/or heating	❐ Yes	❐ No
4. 6.	Water use reduction	❐ Yes	❐ No
4. 7.	Closed-loop process water recycling	❐ Yes	❐ No
4. 8.	Product or process design modification	❐ Yes	❐ No
4. 9.	Reduction in fuel consumption	❐ Yes	❐ No
4. 10.	Transport technology improvement (e.g., hybrids)	❐ Yes	❐ No

5. Does your facility have a programme and/or procedures to reduce the **power consumption** of products in use?
❐ Yes ❐ No ❐ Not applicable

6. Does your facility have a programme to consider **environmental impacts** in its construction, maintenance, and land use practices?
❐ none ❐ planned ❐ partial ❐ in place

7. During the last 12 months, has your facility received any **awards** or recognition for your efforts in pollution prevention, resource reduction, or environmental excellence?
❐ Yes ❐ No

8. If "Yes", please **describe** these awards.	

FH11. Hazardous substances

1. Please indicate whether your facility uses any of the following types of **materials** in manufacturing operations.	
1. 1. Hazardous chemicals (e.g., flammable, toxic): in products	❒ Yes ❒ No
1. 2. Hazardous chemicals (e.g., flammable, toxic): in processes	❒ Yes ❒ No
1. 3. Hazardous chemicals (e.g., flammable, toxic): at facility	❒ Yes ❒ No
1. 4. Radioactive materials: in products	❒ Yes ❒ No
1. 5. Radioactive materials: in processes	❒ Yes ❒ No
1. 6. Radioactive materials: at facility	❒ Yes ❒ No
1. 7. Biological materials (e.g., microorganisms): in products	❒ Yes ❒ No
1. 8. Biological materials (e.g., microorganisms): in processes	❒ Yes ❒ No
1. 9. Biological materials (e.g., microorganisms): at facility	❒ Yes ❒ No

2. What is the **quantity** (in kg) of hazardous materials that is on-site?
(Include all flammables, combustibles, corrosive reactive, toxic gasses, radioactive, biological and hazardous waste materials.)

❒ none (skip to Question 7)   ❒ less than 5   ❒ 5 to 99   ❒ 100 to 1000   ❒ over 1000

3. What types of **containers** are used to store hazardous, flammable or corrosive chemicals?

(check all that apply)

❒ bottles   ❒ gas cylinders   ❒ drums under 400 litres   ❒ drums 400 litres or more

❒ above-ground tanks   ❒ underground tanks   ❒ other: _____

4. Describe the **storage areas** that are used to store chemicals at your facility?

(check all that apply)

❒ enclosed or covered area   ❒ open air   ❒ secondary containment

5. Does your facility provide hazardous material **training** to workers?

❒ Yes   ❒ No

6. Does your facility have a programme aimed at **reducing** the amount of hazardous materials used at the site, including process modification, closed loop recycling, material reduction, and substitution of benign materials?

❒ none   ❒ planned   ❒ partial   ❒ in place

7. Does your facility generate wastes that are classified as **hazardous wastes**?

❒ Yes   ❒ No   (skip to Section FH10)

8. Does your facility have a programme and/or procedures for **management** of hazardous wastes, including monitoring, characterisation, treatment or conversion, and disposition?

❒ none   ❒ planned   ❒ partial   ❒ in place

9. If "Yes", please indicate which **methods** below are used to dispose of the hazardous waste:		
9. 1. Onsite waste treatment	❐ Yes	❐ No
9. 2. Onsite temporary storage	❐ Yes	❐ No
9. 3. Collection and transfer to a waste management firm	❐ Yes	❐ No
9. 4. Discharge to ground or water (e.g., pond)	❐ Yes	❐ No

FH12. Wastewater & solid waste

1. What type of wastewater is generated at your facility?
❐ Sanitary ❐ Industrial ❐ None (skip to Question 4)

2. Does your facility have a **programme** and/or procedures for management of wastewater, including monitoring, characterisation, treatment, discharge, and/or recycling?
❐ none (skip to Question 4) ❐ planned ❐ partial ❐ in place

3. Please indicate which of the **methods** below are used to manage the wastewater:

3. 1. Onsite wastewater treatment	❐ Yes	❐ No
3. 2. Discharge to a municipal treatment facility	❐ Yes	❐ No
3. 3. Discharge to a settling pond or surface water	❐ Yes	❐ No
3. 4. Collection and transfer to a waste management firm	❐ Yes	❐ No

3. 5. Other (please describe) [   ]

4. Does your facility have a **programme** and/or procedures for management of solid waste (e.g., office waste, trash), including collection, separation, disposal, and/or recycling?
❐ none (skip to question 4) ❐ planned ❐ partial ❐ in place

5. Please indicate which of the **methods** below are used to dispose of solid waste at your facility.

(check all that apply)

5. 1. Onsite disposal or incineration	❐ Yes	❐ No
5. 2. Disposal at a public solid waste facility	❐ Yes	❐ No
5. 3. Collection and transfer to a waste management firm	❐ Yes	❐ No

5. 4. Other (please describe) [   ]

6. Does your facility have a programme aimed at **reducing** the amount of wastewater and solid waste generated, including process modification, closed loop recycling, source reduction, or offsite transfer and re-use?
❐ none ❐ planned ❐ partial ❐ in place

FH13. Airborne emissions

1. Does your facility generate regulated quantities of **airborne emissions** from its operations that require permitting and/or reporting to authorities?

    ❒ Yes   ❒ No (skip to Question 3)

2. If "Yes", which of the following **types** of emissions are generated?

(check all that apply)

2. 1. Volatile organic chemicals   ❒

2. 2. Aerosols or mists   ❒

2. 3. Corrosive vapors   ❒

2. 4. Particulates or dust   ❒

2. 5. Ozone depleting substances   ❒

2. 6. Combustion byproducts   ❒

2. 7. Other emissions   ❒   Describe: [   ]

3. Does your facility have a **programme** and/or procedures for management of airborne emissions, including monitoring, characterisation, control, and treatment?

    ❒ none (skip to Question 5)   ❒ planned   ❒ partial   ❒ in place

4. Which of the following methods are used to control **airborne emissions** at your facility?

(check all that apply)

4. 1. Point of use exhaust ventilation   ❒

4. 2. Oxidiser   ❒

4. 3. Scrubber   ❒

4. 4. Electrostatic precipitator   ❒

4. 5. Carbon filtration   ❒

4. 6. Other methods   ❒   Describe: [   ]

4. 7. None – Emission levels are below statutory and regulatory thresholds   ❒

5. Does your facility have a programme aimed at **reducing** the amount of airborne emissions generated, including process modification, containment, or efficiency improvement?

    ❒ none   ❒ planned   ❒ partial   ❒ in place   ❒ not applicable

6. Does your facility have a programme aimed at inventorying, reducing, and reporting the emissions of **global warming gases** (GWGs) from your operations?

    ❒ none   ❒ planned   ❒ partial   ❒ in place

7. Does your facility have a programme aimed at reducing **mobile source emissions** associated with incoming and outgoing shipments as well as worker commuting?

    ❒ none   ❒ planned   ❒ partial   ❒ in place

FH14. Product content

1. Has your facility established a list of materials (e.g. lead, mercury, cadmium, CFCs, flame retardants) that are regulated or controlled in the products that you manufacture?

(If "Yes") Please attach the list of regulated or controlled materials.

❒ Yes ❒ No ❒ Not applicable

1. 1. Explain why you answered "not applicable"

2. Does your facility have a programme to determine the quantities of controlled materials in your products (including regulatory and customer requirements)?

❒ none ❒ planned ❒ partial ❒ in place ❒ Not applicable

2. 1. Explain why you answered "not applicable":

3. Does your facility have a programme to phase out controlled materials from its product within a specified time period, consistent with international legislation on restriction of hazardous substances?

❒ none ❒ planned ❒ partial ❒ in place ❒ Not applicable

3. 1. Explain why you answered "not applicable":

4. At what points do you integrate controlled material requirements into your operations?

(Check all that apply)

❒ design ❒ procurement ❒ quality assurance ❒ other ❒ Not applicable

4. 1. Please describe the "other" points of integration:

4. 2. Explain why you answered "not applicable".

5. During the last 12 months, have any of your facility's products been **rejected** by the buyer or **banned** from any market as a result of the use of controlled materials?

❒ Yes ❒ No

6. If "Yes", please **describe** these incidents.

7. Does your facility have a programme to encourage the use of **recycled materials** and/or refurbished components in your products, subject to customer approval?

❒ none ❒ planned ❒ partial ❒ in place

8. Does your facility have a programme to assure proper **information disclosure** for your products, including material composition and product safety information?

   ❒ none   ❒ planned   ❒ partial   ❒ in place

9. Does your facility work with **suppliers** to improve their management of product content?

   ❒ Yes   ❒ No

10. Does your facility have a programme to facilitate **recovery** of discarded products, components, or materials at the end of their useful life (product take-back)?

   ❒ none   ❒ planned   ❒ partial   ❒ in place

FH15. Facility HS&E Management System Status

1. a. Does your facility utilise or is it developing a **management systems** approach (including policies, programmes, procedures, and review processes) to assure proper management of **health and safety** practices?	
❐ Yes ❐ No	
1. b. Does your facility utilise or is it developing a **management systems** approach (including policies, programmes, procedures, and review processes) to assure proper management of **environmental** practices?	
❐ Yes ❐ No	
2. Do you have a site-specific management system registered to ISO 14001, OHSAS 18001, or other recognised heath and safety or environmental management standards?	
(Report company-wide management systems in the Corporate Questionnaire)	
❐ Yes ❐ No	

3. If "Yes", please provide the information below, and **attach*** a copy of the certificate.

Type of certificate:	
Number:	
Date of issue:	
Certifier:	

4. a. For your **health and safety** management systems, please indicate the **level of implementation** of the programmes and procedures for each item below.

Health & Safety

a. 1. Occupational safety	❐ none	❐ planned	❐ partial	❐ in place
a. 2 Emergency preparedness	❐ none	❐ planned	❐ partial	❐ in place
a. 3. Occupational Injury/Illness	❐ none	❐ planned	❐ partial	❐ in place
a. 4. Industrial hygiene	❐ none	❐ planned	❐ partial	❐ in place
a. 5. Physically demanding work	❐ none	❐ planned	❐ partial	❐ in place
a. 6. Machine safeguarding	❐ none	❐ planned	❐ partial	❐ in place
a. 7. Living conditions	❐ none	❐ planned	❐ partial	❐ in place

4. b. For your **environmental** management systems, please indicate the **level of implementation** of the programmes and procedures for each item below.

Environmental

b. 1. Environmental permits	❐ none	❐ planned	❐ partial	❐ in place
b. 2. Pollution prevention	❐ none	❐ planned	❐ partial	❐ in place
b. 3. Hazardous substances	❐ none	❐ planned	❐ partial	❐ in place
b. 4. Wastewater & solid waste	❐ none	❐ planned	❐ partial	❐ in place
b. 5. Airborne emissions	❐ none	❐ planned	❐ partial	❐ in place
b. 6. Product content	❐ none	❐ planned	❐ partial	❐ in place

5. a. To what extent are the above HS management system(s) documented?
❐ not at all   ❐ partially   ❐ completely   ❐ completely and updated regularly
6. a. How often does the management of your facility periodically review the status of the above HS management system(s) and identify improvement opportunities?
❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year
7. a. What was the date of the last HS management review?
5. b. To what extent are the above Environmental management system(s) documented?
❐ not at all   ❐ partially   ❐ completely   ❐ completely and updated regularly
6. b. How often does the management of your facility periodically review the status of the above Environmental management system(s) and identify improvement opportunities?
❐ never   ❐ irregularly   ❐ every 2 to 4 years   ❐ at least every year
7. b. What was the date of the last Environmental management review?

FH16. HS&E Management System Elements

1. a. Has your facility established a **tracking system** to identify and monitor **health and safety laws** and regulations that apply to your facility?
❑ Yes ❑ No
1. b. Has your facility established a **tracking system** to identify and monitor **environmental laws** and regulations that apply to your facility?
❑ Yes ❑ No
2. a. Please indicate the methods and sources used to track Health and Safety laws and regulations. (check all that apply)
❑ information subscription ❑ consulting services ❑ industry associations ❑ regulatory agencies ❑ in-house specialists ❑ other:
2. 1a. Please describe other
2. b. Please indicate the methods and sources used to track Environmental laws and regulations. (Check all that apply)
❑ information subscription ❑ consulting services ❑ industry associations ❑ regulatory agencies ❑ in-house specialists ❑ other:
2. 1b. Please describe other
3. a. Does your facility have written **performance objectives** for **health and safety** practices and results, including metrics and targets with implementation plans for achieving them?
❑ Yes ❑ No
3. b. Does your facility have written **performance objectives** for **environmental** practices and results, including metrics and targets with implementation plans for achieving them?
❑ Yes ❑ No
4. a. How often does your facility review Health and Safety performance against these objectives and targets?
❑ never ❑ irregularly ❑ every 1 to 2 years ❑ several times per year
5. a. Please indicate the date of the last Health and Safety review
4. b. How often does your facility review Environmental performance against these objectives and targets?
❑ never ❑ irregularly ❑ every 1 to 2 years ❑ several times per year
5. b. Please indicate the date of the last Environmental review
6. a. Has your facility implemented a risk assessment process to identify, prioritise, and mitigate the potential Health and Safety risks associated with your operations and activities?
❑ none ❑ planned ❑ partial ❑ in place ❑ done at company level
6. b. Has your facility implemented a risk assessment process to identify, prioritise, and mitigate the potential Environmental risks associated with your operations and activities?
❑ none ❑ planned ❑ partial ❑ in place ❑ done at company level

7. Does your company have a programme to assess risks and manage the identified risks relating to the HS&E practices of your suppliers?

    ❏ none   ❏ planned   ❏ partial   ❏ in place   ❏ done at company level

8. a. Does your facility receive **periodic audits** of **health and safety** practices in order to assess conformance with regulatory and other requirements?

    ❏ Yes   ❏ No

8. b. Does your facility receive **periodic audits** of **environmental** practices in order to assess conformance with regulatory and other requirements?

    ❏ Yes   ❏ No

9. a. Please indicate what types of requirements are covered in the audit process of Health and Safety practices. (Check all that apply)

    ❏ regulations   ❏ internal requirements   ❏ external codes of conduct

9. b. Please indicate what types of requirements are covered in the audit process of Environmental practices. (Check all that apply)

    ❏ regulations   ❏ internal requirements   ❏ external codes of conduct

10. During the last 12 months, has your facility received a Health and Safety or Environmental audit or assessment by a customer or other external organisation (e.g. government agency) at any of your facilities?

    ❏ Customer   ❏ Other   ❏ None (skip to Question 12)

11. What type of organisation performed the audit? (customer, NGO, government, other)

    [   ]

12. Does your facility have a process to implement timely **corrective actions** for HS&E deficiencies identified by internal or external assessments, audits, and reviews?

    ❏ none (skip to Question 14)   ❏ planned   ❏ partial   ❏ in place

13. Does the corrective action process include **root cause** analysis and prevention?

    ❏ Yes   ❏ No   ❏ N/A

14. Does your facility have onsite HS&E **technical specialists,** such as industrial hygienists, or pollution control engineers?

    ❏ Yes   ❏ No

14. 1. Specify what types of specialists   [   ]

15. Does your facility provide clear and simple **written regulations** to all employees and workers in the local or appropriate language(s), establishing requirements and responsibilities for HS&E practices in accordance with company policy?

    ❏ Yes   ❏ No

16. a. Does your facility provide general **training programmes** for **health and safety** practices?

    ❏ Yes   ❏ No

16. b. Does your facility provide general **training programmes** for **environmental** practices?	
❒ Yes ❒ No	

17. a. Does your facility have a process for measuring the effectiveness of its Health and Safety training?

❒ none ❒ planned ❒ partial ❒ in place

17. b. Does your facility have a process for measuring the effectiveness of its Environmental training?

❒ none ❒ planned ❒ partial ❒ in place

18. To which of the following **external groups** does your facility communicate information about its HS&E performance, practices and expectations?

(check all that apply)

❒ suppliers ❒ customers ❒ communities ❒ investors

❒ government ❒ general public ❒ other

❒ done at company level

18. 1. Please describe other: [   ]

19. What **methods** are used to communicate externally about HS&E practices?

(check all that apply)

❒ in-person meetings ❒ published reports ❒ website

OPTIONAL:

Please attach a description of your facility management system for a selected aspect of HSE performance.

Summary of Attachments Provided for Facility Questionnaire

Please indicate below which of the requested documents you are attaching electronically.

Please clearly label all attachments with the Question number (e.g., FH7.4) to which they refer. Attachments can be separate files, or can be combined into a single file.

Policies or Statements of Commitment

❐ Facility-specific policy on Labour and Ethics. (FL3.1)

❐ Facility-specific policy on Health, Safety and Environment. (FH3.1)

Citations or Incidents

❐ Brief description of incidents involving demonstrations or adverse publicity. (FB3.6)

❐ Brief description of citations for labour/ethics violations during the past 3 years. (FL2.5)

❐ Brief description of citations for HS&E violations during the past 3 years. (FH2.5)

❐ Brief description of HS&E-related incidents during the past 12 months. (FH6.8)

Facility Performance Objectives

❐ Labour/Ethics performance objectives for current year. (FL13.3)

❐ HS&E performance objectives for current year. (FH16.3)

Facility-Specific Management Systems

❐ Labour/Ethics management system certificate. (FL12.3)

❐ Health & Safety and/or Environmental management system certificate. (FH15.3)

❐ **Optional**: Description of your facility management system for a selected aspect of Labour/Ethics or HS&E performance.

Other Information

❐ List of demonstrations, protests, or adverse media reports during the last 12 months (FB3.6)

❐ List of facility environmental permits. (FH12.1)

❐ List of regulated or controlled materials. (FH14.1)

Reference Information

Suppliers are encouraged to review the following relevant information sources available on the World Wide Web, including codes and standards related to labour, ethics, health, safety, and environmental practices. However, note that the presentation of questions in this document pertaining to specific supplier practices does not necessarily imply an endorsement of either those practices or related codes of conduct.

Electronic Industry Code of Conduct	http://eicc.info
Global e-Sustainability Initiative.	www.gesi.org
Bell South Corporate Behavior	www.bellsouth.com/corporate_governance/corporate_behavior.html
BT Sourcing with Human Dignity	www.selling2bt.com/working/humandignity/gs18.asp
Deutsche Telekom Social Charter	http://download-dtag.t-online.de/englisch/company/9-sustainability/040302_socialcharter.pdf
Ericsson Code of Conduct	www.ericsson.com/sustainability/download/pdf/codeofconduct.pdf
Hewlett Packard Supply Chain Programs	www.hp.com/go/supplierE
Motorola Expectations for Suppliers	www.motorola.com/suppliers
Panasonic Code of Conduct	http://panasonic.co.jp/company/en/conduct/
Telefonica Code of Conduct	www.telefonica.es/corporateresponsibility/pdfs/codeofconduct.pdf
Vodafone Code of Ethical Purchasing	www.vodafone.com/responsibility/cep
Verizon Code of Business Conduct	http:/multimedia.verizon.com/responsibility/ethics/practice.aspx
Ethical Trading Initiative	www.ethicaltrade.org/
Universal Declaration of Human Rights	www.un.org/Overview/rights.html
ILO International Labor Standards	www.ilo.org/public/english/standards/norm/introduction/index.htm
SA 8000	www.sa-intl.org/
OHSAS 18001	www.ohsas-18001-occupational-health-and-safety.com/index.htm
ISO 14001	www.iso.org
Eco Management & Audit System	www.quality.co.uk/emas.htm
Electronic Product Materials Declaration	www.nemi.org/projects/ese/Materials_Declarations.html
Waste Electrical & Electronic Equipment	http://europa.eu.int/comm/environment/waste/weee_index.htm