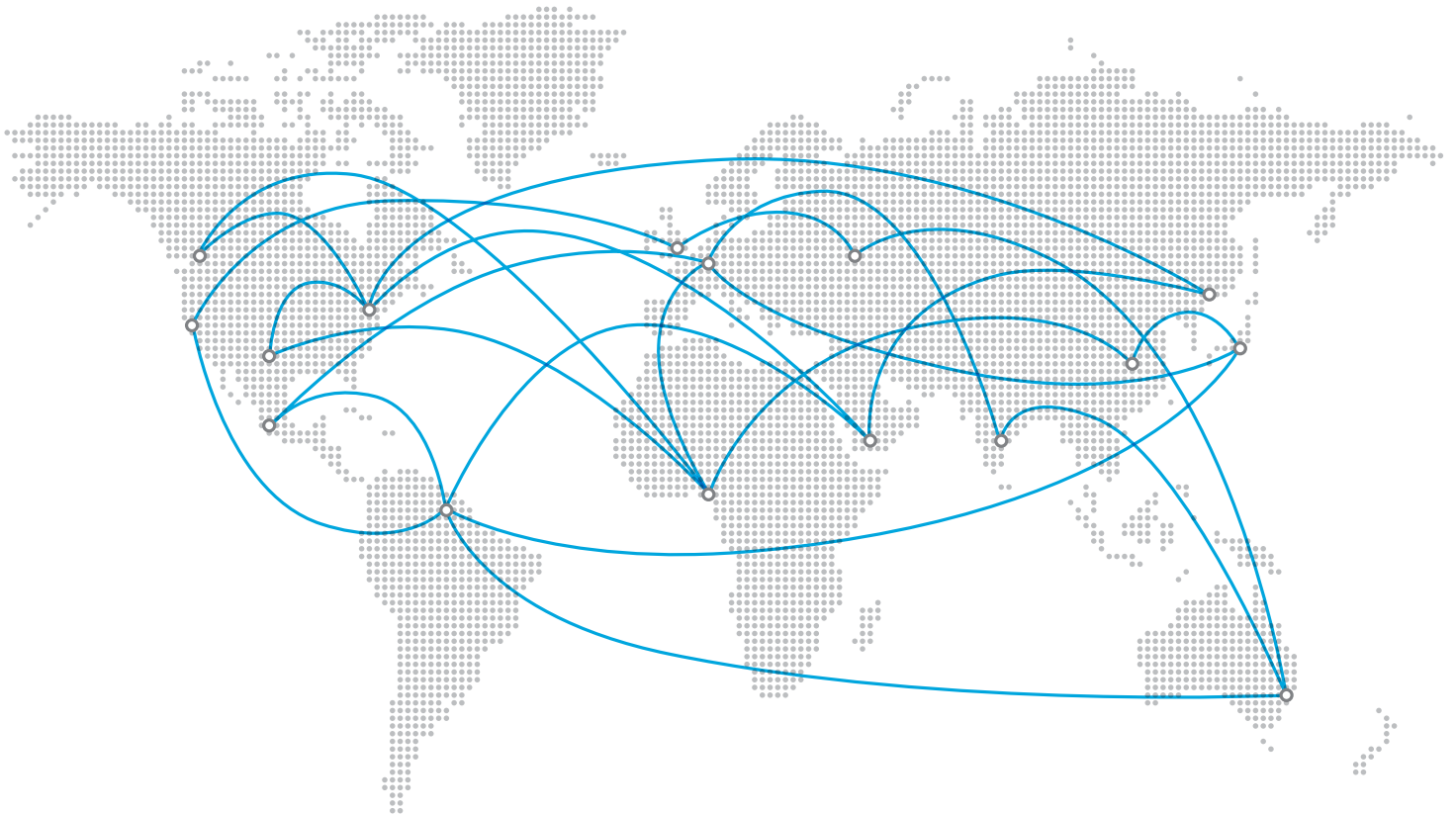


SUPPLIER SELF-ASSESSMENT QUESTIONNAIRE (SAQ): BUILDING THE FOUNDATION FOR SUSTAINABLE SUPPLY CHAINS



Developed by



Amy D. Augustine
Anu Saptharishi
Andrea Moffat

Key Contributor
VERITÉ®



About Us

Ceres is an advocate for sustainability leadership. Ceres mobilizes a powerful network of investors, companies, and public interest groups to accelerate and expand the adoption of sustainable business practices and solutions to build a healthy global economy. Learn more at www.ceres.org.

Verité. For over 15 years Verité has collaborated with the private sector to generate understanding, create tools, and develop systemic solutions to serious supply chain problems including modern-day slavery, child labor, systemic discrimination, dangerous working conditions, and unpaid work. For more information, see www.verite.org.

Acknowledgements

This self-assessment tool was made possible through support from the United Technologies Corporation Foundation. The opinions expressed in the report are those of the authors and do not necessarily reflect the views of the sponsor.

Ceres wishes to express sincere appreciation to Verite for its valuable input in the creation of this tool. The social indicators in particular represent Verite's in-depth knowledge and expertise on leveraging assessments to identify and address supply chain issues.

Ceres also wishes to thank the Rockefeller Foundation for supporting our efforts to advance sustainable supply chains.

As part of the research process undertaken in the development of this tool, we reviewed a wide range of existing initiatives to ensure coordination and consistency, including the Electronic Industry Citizenship Coalition (EICC), the Global Social Compliance Program (GSCP), Sedex, and a number of corporate supply chain initiatives. We wish to thank these groups, as well as the many companies, suppliers, and environmental and social public interest groups, who provided important insight and expertise. We also wish to thank our colleagues, particularly Natasha Scotnicki, for sharing their knowledge and support.

For more information, please visit www.ceres.org/issues.supply-chain.

Layout and design by Cave Dog Studio.

For more information, contact:

Amy Augustine

Director, Corporate Program

Ceres

augustine@ceres.org

Tel: +1-617-247-0700 x156

Copyright

This work is licensed under the Creative Commons Attribution-Noncommercial-ShareAlike 3.0 Unported License. To view a copy of this license, visit <http://creativecommons.org/licenses/by-nc-sa/3.0> or send a letter to:



171 Second Street, Suite 300
San Francisco, California, 94105, US

How to Use This Supplier Self-Assessment Questionnaire (SAQ)

Supplier Guidance

Increasingly companies are realizing in order to effectively manage their sustainability impacts, which comprise economic as well as environmental, social, and governance (ESG) impacts, they must ensure their suppliers are doing the same. As such, more and more companies are engaging suppliers on these issues, encouraging integration of ESG sustainability into core decision-making and implementation of leading practices for improving supply chain sustainability performance.

This has led to a proliferation of initiatives aimed at assessing and improving supply chain sustainability performance, some of which you as a supplier may have experienced. Our research has demonstrated that the majority of these initiatives focus exclusively on one aspect of sustainability or another, which leads to suppliers having to complete a myriad of self-assessment questionnaires (SAQs).

Our intent with this questionnaire is to offer a harmonized approach, allowing one SAQ to demonstrate the important steps you as a supplier are taking to effectively identify and manage ESG risks and opportunities.

Self-assessments are a valuable tool in any supply chain sustainability program. They can help you evaluate, manage, and communicate your ESG policies, practices, and performance. In addition, addressing the issues highlighted in this SAQ can help you identify efficiencies, realize cost savings and productivity benefits, and set the stage for product innovation.

The SAQ asks you to collect information on the following topics:

I. General Company Information

- ◆ Facility Information
- ◆ Workforce Profile
- ◆ Employment Relationship

II. Environment

- ◆ Management Systems and Training
- ◆ Air Emissions
- ◆ Pollution Prevention
- ◆ Greenhouse Gas Emissions and Energy Usage
- ◆ Water Management
- ◆ Other Raw Materials
- ◆ Waste Management
- ◆ Transportation
- ◆ Packaging

III. Social

- ◆ Workplace Management
- ◆ Discrimination
- ◆ Compensation
- ◆ Health & Safety
- ◆ Freedom of Association & Collective Bargaining
- ◆ Hours of Work
- ◆ Forced Labor
- ◆ Harassment & Abuse
- ◆ Child Labor & Young Workers

IV. Governance

- ◆ Accountability
- ◆ Supplier Management
- ◆ Disclosure
- ◆ Grievance and Remediation
- ◆ Stakeholder Engagement

Two areas critical to developing and demonstrating effective management of sustainability issues are stakeholder engagement and comprehensive disclosure of sustainability performance and impacts. While companies, investors, and other stakeholders are increasingly seeking supplier disclosure of sustainability policies, practices, and performance, along with stakeholder engagement, for many suppliers such public disclosure remains in its nascent stage. This presents a leadership opportunity for any supplier currently engaging with stakeholders in its community—including community groups, NGOs, and government—or publicly disclosing ESG data. The governance section of the SAQ allows those suppliers currently engaging in these areas to demonstrate their efforts, while providing others with key indicators for future reporting.

To complete this questionnaire, you may wish to develop a self-assessment strategy in order to consider how best to gather the data you need. We recommend assigning responsibility to a senior manager within the company or to a human resources or corporate responsibility director.

It is also helpful to consult a variety of resources, including company policies, certificates, wage slips, and records. Speaking with relevant colleagues, for example health and safety officers and human resource managers, is also important to gaining a clear picture of the realities at your facility. Workers in your facility are a valuable resource, and it may be impossible to get accurate information without their input. Interviewing workers will be particularly important if your facility employs migrant workers either directly or through a broker.

Suppliers are encouraged to respond candidly and completely to the questionnaire, establishing a true baseline of ESG practices and management from which future performance improvements and impact can be tracked, measured, and communicated. *Answers can be entered directly into the questionnaire and additional documentation attached, as needed.*

The SAQ is not a means to an end, but rather the first step in the development of a constructive dialogue between you and your customers—one that provides an opportunity to build and strengthen relationships with both current and potential business partners.

I. GENERAL INFORMATION

I.A. Facility Information

I.A.1

Name of Facility

Address of Facility

I.A.2

Contact Name

Title

I.A.3

Date of Self-Assessment

I.A.4 Name, City & Country of Facility Owners or Parent/Holding Company:

Detail:

I.A.5

List the names and addresses of all sub-contractors. Describe the tasks and processes they perform for the facility. *Attach additional documentation, as needed.*

Detail:

Detail:

Detail:

I.A.6

List the names and addresses of all labor brokers used to source labor (foreign or domestic) at this facility (if applicable). *Attach additional documentation, as needed.*

Detail:

Detail:

Detail:

I.B. Workforce Profile

I.B.1 Total number of employees at the facility:

Number:

I.B.2 Percentage of employees that are male/female.

M (%): F (%):

I. GENERAL INFORMATION *(continued)*

I.B.3 Percentage of employees that are foreign/migrant workers.

I.B.4 Number of temporary contract workers employed by the facility.

I.C. Employment Relationship

I.C.1 Contract workers are under contract to:

I.C.2 If contract workers are migrant workers, which countries of origin are represented?
Attach additional documentation, as needed.

Detail:

I.C.3 Does the facility have procedures to ensure contract workers are not required to pay an excessive recruitment fee or lodge a deposit with their labor broker? Yes No

I.C.4 Does the facility have procedures to ensure freedom of movement of contract workers is not unreasonably restricted? Yes No

I.C.5 Does the facility have a system in place to ensure that contract labor providers adhere to all relevant labor laws? Yes No

I.C.6 Are all employees provided a written employment agreement with the facility in a language that they understand? Yes No

I.C.7 Does the facility maintain a personnel file on every employee? Yes No

II. ENVIRONMENT

II.A. Management Systems and Training

II.A.1 Does the facility have a management system in place, or is it developing one, to assess environmental risks associated with production? Yes No

II.A.2 Is the facility management system in compliance with applicable environmental laws and regulations? Yes No

II.A.3 Does the facility have up-to-date ISO 14001, RC 14001, or EMAS certification? Yes No

Please list relevant certifications:

II. ENVIRONMENT *(continued)*

II.A.4	Does the facility hold the necessary license(s) or permit(s) for and has the facility received any fines, prosecution, or warnings by regulators in relation to <i>(select all that apply)</i> :	
	<i>License(s) or Permit(s):</i>	<i>Fines, prosecution, or warnings by regulators:</i>
	<input type="checkbox"/> Air emissions <input type="checkbox"/> Storage or use of hazardous substances <input type="checkbox"/> Wastewater management <input type="checkbox"/> Waste issues	<input type="checkbox"/> Air emissions <input type="checkbox"/> Storage or use of hazardous substances <input type="checkbox"/> Preventing soil & groundwater contamination <input type="checkbox"/> Wastewater management <input type="checkbox"/> Waste issues
II.A.5	Are environmental policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages?	<input type="radio"/> Yes <input type="radio"/> No
II.A.6	Are employees trained on relevant environmental matters, including <i>(select all that apply)</i> :	<input type="radio"/> Yes <input type="radio"/> No
	<input type="checkbox"/> Air emissions <input type="checkbox"/> Management & use of hazardous substances <input type="checkbox"/> Preventing soil & groundwater contamination <input type="checkbox"/> Wastewater management <input type="checkbox"/> Waste management, including hazardous waste <input type="checkbox"/> Water use	
II.A.7	Does the facility have established environmental targets and objectives to improve environmental performance?	<input type="radio"/> Yes <input type="radio"/> No
	<i>If yes, what are the targets and objectives?</i> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	
II.A.8	Does the facility review its environmental performance annually?	<input type="radio"/> Yes <input type="radio"/> No
II.B. Greenhouse Gas (GHG) Emissions and Energy Usage		
II.B.1	Does the facility monitor and track energy consumption and conduct on-site energy audits?	<input type="radio"/> Yes <input type="radio"/> No
II.B.2	Does the facility have a system in place to reduce the environmental impact of energy use and greenhouse gases?	<input type="radio"/> Yes <input type="radio"/> No
II.B.3	Does the facility have a program and/or procedures to reduce the use of energy?	<input type="radio"/> Yes <input type="radio"/> No
II.B.4	Does the facility have goals and targets to reduce GHG emissions?	<input type="radio"/> Yes <input type="radio"/> No
	<i>If yes, what are the targets?</i> <div style="border: 1px solid black; height: 50px; width: 100%;"></div>	
	What is the total annual GHG emissions in the most recent year measured <i>(enter in total metric tons CO2e)?</i>	Tons CO2e: <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

II. ENVIRONMENT *(continued)*

- II.B.5** Does the facility have set goals and targets in relation to increased energy efficiency? Yes No
If yes, what are the targets?
- II.B.6** Does the facility report GHG emissions and climate change strategy to the Carbon Disclosure Project (CDP) or publicly disclose an equivalent amount and type of information on an annual basis? Yes No

II.C. Air Emissions

- II.C.1** Does the facility regularly test air emissions (i.e. NOx, SOx, mercury, hazardous air pollutants)? Yes No
- II.C.2** Does the facility have a system in place to manage air emissions? Yes No
- II.C.3** Does the facility have set targets in relation to reducing air emissions?
If yes, what are the targets?
- II.C.4** Does the facility have pollution prevention devices on chimneys, vents, and extraction systems? Yes No

II.D. Water Management

- II.D.1** Does the facility have a system in place to manage and monitor water withdrawals and consumption? Yes No
- II.D.2** Does the facility have a program and/or procedures to reduce water use or reuse/recycle water? Yes No
- II.D.3** Does the facility have set targets to reduce water consumption?
If yes, what are the targets?
- II.D.4** Does the facility have a system in place to address wastewater generation and management? Yes No
- II.D.5** Does the facility treat wastewater prior to off-site discharge?
If yes, what is the standard?

II. ENVIRONMENT *(continued)*

II.D.6	Does the facility identify the sources of its water (e.g. aquifers, municipal water sourced from local water body, harvested rainwater, etc.)?	<input type="radio"/> Yes <input type="radio"/> No
	Does the company assess external supply and quality risks related to these water sources?	<input type="radio"/> Yes <input type="radio"/> No

II.E. Waste Management

II.E.1	Does the facility have a program and/or procedures to reduce or eliminate pollution and waste in its operations?	<input type="radio"/> Yes <input type="radio"/> No
II.E.2	Does the facility have a recycling program to reduce or eliminate pollution and waste in its operations?	<input type="radio"/> Yes <input type="radio"/> No
II.E.3	Does the facility have a program and/or procedures to manage and dispose of hazardous waste (if applicable), wastewater, solid waste, and airborne emissions?	<input type="radio"/> Yes <input type="radio"/> No
II.E.4	Does the facility have set targets to reduce the volume of waste generated? <i>If yes, what are the targets?</i>	<input type="radio"/> Yes <input type="radio"/> No
II.E.5	Does the facility maintain records of off-site transfer, treatment, and disposal of waste?	<input type="radio"/> Yes <input type="radio"/> No
II.E.6	If the facility uses external waste contractors, does it conduct regular audits of those contractors?	<input type="radio"/> Yes <input type="radio"/> No
	Do contractors have relevant certifications?	<input type="radio"/> Yes <input type="radio"/> No
	Have contractors received any compliance violations within the past 3 years?	<input type="radio"/> Yes <input type="radio"/> No

II.F. Packaging

II.F.1	Does the facility have goals and targets to reduce, reuse, and recycle the amount of packaging used for its products? <i>If yes, what are the targets?</i>	<input type="radio"/> Yes <input type="radio"/> No
II.F.2	Does the facility incorporate packaging reduction, reuse, and recycling in its purchasing practices?	<input type="radio"/> Yes <input type="radio"/> No

II.G. Pollution Prevention

II.G.1	Does the facility consider Design for Environment (DfE) in its development of products?	<input type="radio"/> Yes <input type="radio"/> No
--------	---	--

II. ENVIRONMENT *(continued)*

II.G.2	Does the facility use life cycle assessment (LCA) as part of determining chemical selection for product inputs?	<input type="radio"/> Yes <input type="radio"/> No
	Does the facility use chemical hazard assessment and/or comparative chemical hazard assessment as part of determining chemical selection for product inputs?	<input type="radio"/> Yes <input type="radio"/> No
II.G.3	Does the facility assess whether substances stored, used, or handled on-site are prohibited by national or international laws or protocols?	<input type="radio"/> Yes <input type="radio"/> No
II.G.4	Does the facility have a system in place to address pollution prevention and management of hazardous and potentially hazardous substances?	<input type="radio"/> Yes <input type="radio"/> No
II.G.5	Does the facility maintain up-to-date material safety data sheets (MSDS) for all hazardous substances used on-site?	<input type="radio"/> Yes <input type="radio"/> No
II.G.6	Does the facility set targets in relation to eliminating or reducing hazardous substances on-site?	<input type="radio"/> Yes <input type="radio"/> No
	<i>If yes, what are the targets?</i>	
II.G.7	Does the facility conduct tests to identify impact on soil and groundwater from facility operations?	<input type="radio"/> Yes <input type="radio"/> No

II.H. Other Raw Materials

II.H.1	Does the facility keep inventory of all chemical substances used, stored, processed, and manufactured?	<input type="radio"/> Yes <input type="radio"/> No
II.H.2	Does the facility have a program and/or procedures to reduce the use of resources (other than water), and promote sustainable natural resource practices?	<input type="radio"/> Yes <input type="radio"/> No
II.H.3	Does the facility have a policy statement and/or management system that addresses conflict minerals?	<input type="radio"/> Yes <input type="radio"/> No
II.H.4	Does the company engage with the government, commercial contacts, or civil society groups regarding conflict minerals and/or rare earth materials?	<input type="radio"/> Yes <input type="radio"/> No
	<i>If yes, with whom and how?</i>	

II.I. Transportation

II.I.1	Does the facility have in place targets and programs to reduce overall sustainability impacts by managing transportation logistics (e.g. prioritizing low impact transportation modes)?	<input type="radio"/> Yes <input type="radio"/> No
	<i>If yes, what are the targets and programs?</i>	

III. SOCIAL

III.A. Workplace Management

III.A.1	Does the facility have a written corporate responsibility policy or statement of commitment that defines its approach to labor, health, and safety standards?	<input type="radio"/> Yes <input type="radio"/> No
III.A.2	Does the facility have policies that prohibit forced labor and child labor?	<input type="radio"/> Yes <input type="radio"/> No
III.A.3	Does the facility have written personnel policies that cover <i>(select all that apply)</i> : <input type="checkbox"/> Benefits and deductions <input type="checkbox"/> Discipline and termination <input type="checkbox"/> Grievance procedures <input type="checkbox"/> Harassment and abuse <input type="checkbox"/> Overtime hours <input type="checkbox"/> Overtime wage rates <input type="checkbox"/> Regular hours <input type="checkbox"/> Vacation and leave <input type="checkbox"/> Wages	
	Does the policy cover all workers, including migrant workers?	<input type="radio"/> Yes <input type="radio"/> No
III.A.4	Does the facility have a management system in place, or is it developing one, to assess labor, health, and safety risks?	<input type="radio"/> Yes <input type="radio"/> No
III.A.5	Is the facility performance management system in compliance with applicable social laws and regulations?	<input type="radio"/> Yes <input type="radio"/> No
III.A.6	Does the facility have up-to-date SA8000, ETI, or other recognized certification? <i>Please list relevant certifications:</i> <div style="border: 1px solid black; height: 60px; width: 100%;"></div>	<input type="radio"/> Yes <input type="radio"/> No
III.A.7	Does the facility have a system in place for employee appraisal that covers regular workers and probationary employees/trainees?	<input type="radio"/> Yes <input type="radio"/> No
III.A.8	Are formal and written policies and procedures for disciplining and terminating employees standardized throughout the facility?	<input type="radio"/> Yes <input type="radio"/> No
III.A.9	Does the facility strictly prohibit physical punishment of employees as a disciplinary measure?	<input type="radio"/> Yes <input type="radio"/> No
III.A.10	Are labor, health, and safety policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages? What communication vehicles are used? <i>(Select all that apply)</i> <input type="checkbox"/> Bulletin board posting <input type="checkbox"/> Electronic mail <input type="checkbox"/> Employee handbook/literature <input type="checkbox"/> Formal training <input type="checkbox"/> Manager meeting <input type="checkbox"/> Website	<input type="radio"/> Yes <input type="radio"/> No

III. SOCIAL (continued)

III.B. Health & Safety

III.B.1. Facility

III.B.1.a To which laws and regulations governing environment, health, and safety does the facility adhere?

Detail:

III.B.1.b Does the facility have up-to-date OHSAS 18001, ANSI Z10, CSA Z1000, BSI 8800, or OSHA VPP certification?

Yes No

Please list relevant certifications:

III.B.1.c Does the facility have procedures in place to ensure appropriate machinery is well-maintained and equipped with necessary safety devices?

Yes No

III.B.1.d Does the facility have written procedures for the safe storage, use, and disposal of each hazardous material used in production (if applicable), in language(s) workers understand?

Yes No

III.B.1.e Does the facility have procedures in place to ensure appropriate Personal Protection Equipment (PPE) is provided to employees?

Yes No

If yes, provide a list of Personal Protection Equipment (PPE) distributed and the number of employees using it:

Detail:

III.B.1.f How often are noise levels and air quality in the facility regularly monitored?

Times per year:

III.B.1.g Does the facility have a written emergency response plan and fire evacuation procedure?

Yes No

III.B.1.h Has the emergency response plan and fire evacuation procedure been communicated to all parties that could be affected by the emergency in local or appropriate languages?

Yes No

III.B.1.i How often does the facility conduct emergency drills?

Times per year:

III. SOCIAL (continued)

III.B.1.j Are all emergency exits unobstructed and unlocked from the inside at all times during working hours? Yes No

III.B.1.k Does the facility have procedures in place to ensure employees are not denied permission or delayed from leaving the facility under reasonable circumstances (e.g. in the event on an emergency or personal urgency)? Yes No

III.B.2. Facility Emergency Management

III.B.2.a Does the facility have well-stocked, unlocked first aid stations at every production site? Yes No

III.B.2.b Are all employees trained on relevant health and safety matters, including (select all that apply):

<input type="checkbox"/> Emergency management	<input type="checkbox"/> Machine safeguarding
<input type="checkbox"/> Hazardous materials handling	<input type="checkbox"/> Occupational health and safety
<input type="checkbox"/> Living conditions	<input type="checkbox"/> Personal protection equipment

III.B.2.c Has the facility operated without serious injury and/or fatality over the past year? Yes No

Over the past three years? Yes No

III.B.3. Dormitory (if applicable)

III.B.3.a Are all emergency exits unlocked from the inside and unobstructed? Yes No

III.B.3.b Are dormitory living conditions clean, secure, and adequately cooled, heated, lighted and ventilated? Yes No

III.B.3.c Are dormitory accommodations in separate building(s) from production areas? Yes No

III.B.3.d Are toilet facilities clean, ventilated, equipped with running water, accessible, and lighted at night? Yes No

III.B.3.e Do all employees who reside in dormitories have access to running water, safe drinking water, sanitary cooking facilities, and adequately private showers? Yes No

III.B.3.f Do all dormitories have fire alarms and extinguishers that are regularly tested? Yes No

III.B.3.g Do all employees who reside in facility dormitories have means of securing personal documents themselves? Yes No

III.C. Forced Labor

III.C.1 Does the facility does employ prison labor? Yes No

III.C.2 Are any of the workers under bond, debt, or other obligation to the facility or to labor brokers? Yes No

III.C.3 Are workers free to resign from their employment at any time without penalty, giving reasonable notice? Yes No

III. SOCIAL (continued)

III.C.4	Are workers free to leave the facility and related dormitories during non-working hours and at the end of their shift?	<input type="radio"/> Yes <input type="radio"/> No
III.C.5	Does the facility (or labor broker) withhold worker ID cards or passports?	<input type="radio"/> Yes <input type="radio"/> No
III.C.6	Are workers required to deposit money prior to or during employment?	<input type="radio"/> Yes <input type="radio"/> No

III.D. Child Labor & Young Workers

III.D.1	Does the facility employ child labor (workers younger than 14 or 15)?	<input type="radio"/> Yes <input type="radio"/> No
III.D.2	Are young workers (above the legal minimum age, but under the age of 18) requiring protective restrictions employed in accordance with the law?	<input type="radio"/> Yes <input type="radio"/> No
III.D.3	Do any young workers perform night work, hazardous jobs, or are they exposed to risks from chemicals, machinery, tools or excessive cold, heat, or noise?	<input type="radio"/> Yes <input type="radio"/> No
III.D.4	Does the factory have effective procedures for verifying workers' ages?	<input type="radio"/> Yes <input type="radio"/> No

III.E. Discrimination

III.E.1	Does the facility have written personnel policies in place for its hiring, salary, benefits, termination, and/or retirement practices to prevent discrimination on the basis of (select all that apply):	<input type="radio"/> Yes <input type="radio"/> No	
	<input type="checkbox"/> Age	<input type="checkbox"/> Medical history	<input type="checkbox"/> Religion
	<input type="checkbox"/> Disability	<input type="checkbox"/> Nationality	<input type="checkbox"/> Sexual orientation
	<input type="checkbox"/> Gender	<input type="checkbox"/> Political opinion	<input type="checkbox"/> Social or ethnic origin
	<input type="checkbox"/> Gender identity and/or expression	<input type="checkbox"/> Pregnancy status	<input type="checkbox"/> Union affiliation
	<input type="checkbox"/> Marital status	<input type="checkbox"/> Race	<input type="checkbox"/> Veteran status
III.E.2	Does the facility have procedures in place to ensure employees receive equal pay for equal work, regardless of those factors listed in question III.E.1?	<input type="radio"/> Yes <input type="radio"/> No	
III.E.3	Are female applicants asked about their pregnancy status when applying for a job?	<input type="radio"/> Yes <input type="radio"/> No	
III.E.4	Are employees permitted to perform religious obligations without restriction?	<input type="radio"/> Yes <input type="radio"/> No	

III.F. Freedom of Association & Collective Bargaining

III.F.1	Are there any laws or regulations in the facility's country/region of operation concerning workers' freedom to join or form trade unions or workers' organizations of their own choosing and to collectively bargain?	<input type="radio"/> Yes <input type="radio"/> No
III.F.2	Are workers free to join or form trade unions or workers' organizations of their own choosing and collectively bargain, if permitted by law?	<input type="radio"/> Yes <input type="radio"/> No
III.F.3	Does the facility recognize trade unions or other independent workers' organizations representing employees in the workplace (if applicable)?	<input type="radio"/> Yes <input type="radio"/> No

III. SOCIAL (continued)

III.F.4	Which of the following types of labor organizations are present and active in the facility? (Select all that apply)	
	<input type="checkbox"/> Dormitory committee	<input type="checkbox"/> Independent trade union
	<input type="checkbox"/> Government union	<input type="checkbox"/> Worker's committee
	<input type="checkbox"/> Health & safety committee	<input type="checkbox"/> Other
III.F.5	Are employees in the facility able to participate democratically in the selection of representatives for labor organizations (if applicable)?	<input type="radio"/> Yes <input type="radio"/> No

III.G. Harassment & Abuse

III.G.1	Does the facility have a formal, written policy that clearly states a commitment to prevent harassment and abuse in the workplace?	<input type="radio"/> Yes <input type="radio"/> No
III.G.2	Does the facility have procedures in place to ensure the workplace is free of physical abuse, corporal punishment, physical contact with the intent to injure or intimidate, and disciplinary measures that cause physical discomfort?	<input type="radio"/> Yes <input type="radio"/> No
III.G.3	Does the facility have procedures in place to ensure the workplace is free of sexual harassment?	<input type="radio"/> Yes <input type="radio"/> No
III.G.4	Does the facility have procedures in place to ensure the workplace is free of verbal abuse and/or harassment?	<input type="radio"/> Yes <input type="radio"/> No
III.G.5	Does the facility have procedures in place to document and confidentially report events, complaints, cases, and management responses and action related to harassment and abuse?	<input type="radio"/> Yes <input type="radio"/> No

III.H. Compensation

III.H.1	Does the facility have procedures in place to ensure all workers are paid at least the legal minimum wage for standard working hours?	<input type="radio"/> Yes <input type="radio"/> No
III.H.2	Does the facility have procedures in place to ensure all workers are paid the legal overtime rate?	<input type="radio"/> Yes <input type="radio"/> No
III.H.3	Does the facility have procedures in place to ensure all workers are provided all the benefits to which they are entitled upon hire?	<input type="radio"/> Yes <input type="radio"/> No
III.H.4	Does the facility have procedures in place to ensure all workers are provided the holidays and leave to which they are legally entitled?	<input type="radio"/> Yes <input type="radio"/> No
III.H.5	Does the facility have procedures in place to ensure no unauthorized or illegal deductions are taken from employee wages?	<input type="radio"/> Yes <input type="radio"/> No
III.H.6	Does the facility have procedures in place to ensure payroll documents indicate all hours worked?	<input type="radio"/> Yes <input type="radio"/> No
III.H.7	Are all workers provided with a written explanation, in local or appropriate languages, of pay and any deductions taken?	<input type="radio"/> Yes <input type="radio"/> No

III. SOCIAL (continued)

III.I. Hours of Work

III.I.1 Which laws regulating working hours apply to this facility?

Detail:

III.I.2 Which laws regulating overtime hours are applicable to this facility?

Detail:

III.I.3 Does the facility have procedures in place to ensure all workers are given at least one day off in seven? Yes No

III.I.4 Does the facility have procedures in place to ensure all overtime performed at the facility is voluntary? Yes No

IV. GOVERNANCE

IV.A. Accountability

IV.A.1 Does the facility have a management representative assigned responsibility for assuring compliance with environmental laws, regulations, and codes? Yes No

List the name(s) and title(s):

IV.A.2 Does the facility have a management representative assigned responsibility for assuring compliance with labor, health, and safety laws, regulations, and codes? Yes No
List the name(s) and title(s).

List the name(s) and title(s):

IV.A.3 Has the facility conducted audits of its environmental management system(s) in the past year? Yes No

In the past three years? Yes No

IV.A.4 Has the facility conducted audits of its labor, health, and safety laws management system(s) in the past year? Yes No

In the past three years? Yes No

- IV.A.5 Are corrective actions identified by the environmental, labor, health, and safety audits tracked to closure? Yes No
- IV.A.6 Does the corrective action process include root cause analysis and preventative mechanism implementation? Yes No
- IV.A.7 Does the facility have a process in place to evaluate and update environmental, social, and governance policies and systems on an on-going basis? Yes No

IV.B. Grievance and Remediation

- IV.B.1 Does the facility have effective grievance procedures in place to allow employees to bring environmental and/or work-related violations and/or concerns to management's attention in an anonymous manner without fear of retribution? Yes No
- IV.B.2 Does the facility have procedures in place to investigate reports of environmental and/or work-related violations and/or concerns? Yes No
- IV.B.3 In the past year, how many complaints have been received and investigated? How many have been resolved?
- | | |
|-----------|-----------|
| Received: | Resolved: |
| | |

IV.C. Supplier Management (if applicable)

- IV.C.1 What procedures does the facility have in place to ensure that suppliers, including labor brokers, operate in compliance with all applicable environmental and labor laws and regulations?
- Detail:*
-

- IV.C.2 What procedures does the facility have in place to assess and manage identified risks relating to the labor practices of suppliers, including labor brokers?
- Detail:*
-

- IV.C.3 What procedures does the facility have in place to evaluate and select suppliers based on their ability to meet ESG standards?
- Detail:*
-

IV. GOVERNANCE *(continued)*

IV.D. Stakeholder Engagement

- IV.D.1** Does the facility regularly engage stakeholders on its sustainability strategies, disclosure, and performance, including community groups, employees, NGOs, and government? Yes No

If yes, who and how often?

- IV.D.2** What procedures does the facility have in place to incorporate stakeholder input into its business and operational strategies?

Detail:

- IV.D.3** Does the facility publicly disclose results of its stakeholder engagement? Yes No

If yes, please provide a link to the disclosure:

IV.E. Disclosure

- IV.E.1** Does the facility publicly disclose its ESG policies, programs, and performance either online or in a sustainability report? Yes No

If yes, please provide a link to the disclosure:

- IV.E.2** Does the facility require its suppliers to publicly disclose key ESG information, including policies, programs, and performance? Yes No

If yes, please provide a link to the disclosure:

- IV.E.3** Does the facility factor supplier's performance on key ESG indicators into its purchasing decisions? Yes No

IV. GOVERNANCE (continued)

V. ADDITIONAL INFORMATION

V.A.1 Provide a list of all attached documents:

Attached document names:

Attached document names:

V.A.2 Additional comments, if needed:

Detail:



Ceres
99 Chauncy Street
Boston, MA 02111
T: 617-247-0700
F: 617-267-5400
www.ceres.org

For more information, contact:

Amy Augustine
Director, Corporate Program
Ceres
augustine@ceres.org
Tel: +1-617-247-0700 x156



This work is licensed under the Creative Commons Attribution-Noncommercial-ShareAlike 3.0 Unported License. To view a copy of this license, visit creativecommons.org/licenses/by-nc-sa/3.0