

Supplier Self-Assessment Questionnaire for ESG Compliance

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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.

Request a Demo to experience how this questionnaire and other ESG obligations can be easily managed in Aavenir's Contract Management and Supplier Information Management solutions.

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

III. Social

- Workplace Management
- Health & Safety
- Forced Labor
- Child Labor & Young Workers
- Air Emissions
- Water Management
- Waste Management
- Packaging
- Compensation
- Hours of Work

IV. Governance

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

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 bestto 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

Contact Name

Title

I.A.2

Date of Self- Assessment

I.A.3 Name, City & Country of Facility Owners or Parent/Holding Company:

Detail

I.A.4 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.A.5 List the names and addresses of all sub-contractors. Describe the tasks and processes

Detail	*Detail*	*Detail*

I.B. Workforce Profile

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

I.B.2 Total number of employees at the facility:

M(%)	*F(%)*

I.B.3	Percentage of employees that are foreign/migrant workers	%:
I.B.4	Number of temporary contract workers employed by the facility.	Number:

I.C. Employment Relationship

I.C.1	Contract workers are under contract to:	Employer(#)	Broker(#)	Other(#)

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	Are all employees provided a written employment agreement with the facility in a language that they understand?	◯ Yes	◯ No
I.C.5	Does the facility maintain a personnel file on every employee?	◯ Yes	◯ No
I.C.6	Does the facility have procedures to ensure freedom of movement of contract workers is not unreasonably restricted?	◯ Yes	◯ No
I.C.7	Does the facility have a system in place to ensure that contract labor providers adhere to all relevant labor laws?	◯ 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? Please list relevant certifications:	◯ Yes	◯ No

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 (select all that apply):

License(s) or Permit(s):

- ☐ Air emissions
- ☐ Storage or use of hazardous substances
- ☐ Wastewater management
- ☐ Waste issues

Fines, prosecution, or warnings by regulators:

- ☐ Air emissions
- ☐ Storage or use of hazardous substances
- ☐ Preventing soil & groundwater contamination
- ☐ Wastewater management
- ☐ Waste issues

II.A.5 Are environmental policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages? ◯ Yes ◯ No

II.A.6 Are employees trained on relevant environmental matters, including (select all that apply):

License(s) or Permit(s):

- ☐ Air emissions
- ☐ Management or use of hazardous substances
- ☐ Preventing soil & groundwater contamination

Fines, prosecution, or warnings by regulators:

- ☐ Wastewater management
- ☐ Waste management, including hazardous waste
- ☐ Waste issues

II.A.7 Does the facility have established environmental targets and objectives to improve environmental performance? ◯ Yes ◯ No

If yes, what are the targets and objectives?

II.A.8 Does the facility review its environmental performance annually? ◯ Yes ◯ No

II.B. Regulatory Compliance Environment

II.B.1 Is the company fully compliant with all relevant environmental permits/licences/consents? ◯ Yes ◯ No

II.B.2 There have not been any environmental regulatory issues, breaches, non-compliances, enforcement actions, prosecutions, or fines in the last three years (note: 'Yes' confirms the absence of such issues, breaches, or non-compliances in the last three years). ◯ Yes ◯ No

II.B.3 Has the company recognised adequate financial provisions in their annual accounts to address environmental issues, breaches, non-compliance, enforcements, prosecutions, or fines if they exist? ◯ Yes ◯ No

II.C. Air Pollution

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?*	◯ Yes	◯ No
II.C.4	Does the facility have pollution prevention devices on chimneys, vents, and extraction systems?	◯ Yes	◯ No

II.D. Hazardous & Toxic Material Management

II.D.1	Have all hazardous/toxic chemicals or substances in its processes (note: 'Yes' confirms the absence of hazardous/toxic chemicals or substances in its processes).	◯ Yes	◯ No
II.D.2	Does the company have and follow procedures for the safe use, handling, storage and disposal of hazardous/toxic chemicals and substances?	◯ Yes	◯ No
II.D.3	There are no risks of soil contamination resulting from the activities of the company (**note**: 'Yes' confirms the absence of any such risks).	◯ Yes	◯ No
II.D.4	The company is unaware of any past or current soil or groundwater contamination issues at any of its locations or the need to conduct investigation or remediation activities (**note**: 'Yes' confirms the company is unaware of such issues or the need to conduct any investigations or remediation activity).	◯ Yes	◯ No
II.D.5	There have been no significant spills or leaks of hazardous/toxic chemicals or substances in the last three years (note: 'Yes' confirms the absence of such spills or leaks in the last three years).	◯ Yes	◯ No
II.D.6	Have plans been put in place to reduce or replace hazardous/toxic chemicals and substances with more environmentally-friendly and safer materials in operations or the production process?	◯ Yes	◯ No
II.D.7	Has the company engaged with their suppliers to reduce or replace hazardous/toxic chemicals and substances with more environmentally friendly and safer materials in the production process?	◯ Yes	◯ No
II.D.8	Does the company assess contaminated land risks in the acquisition of new assets?	◯ Yes	◯ No

II.E. Greenhouse Gas (GHG) Emissions and Energy Usage

II.E.1	Does the facility monitor and track energy consumption and conduct on-site energy audits?	◯ Yes	◯ No
II.E.2	Does the facility have a system in place to reduce the environmental impact of energy use and greenhouse gases?	◯ Yes	◯ No
II.E.3	Does the facility have a program and/or procedures to reduce the use of energy?	◯ Yes	◯ No
II.E.4	Does the facility have goals and targets to reduce GHG emissions? *If yes, what are the targets?*	◯ Yes	◯ No
	What is the total annual GHG emissions in the most recent year measured (enter in total metric tons CO2e)?	*Tons CO2e:*	
II.E.5	Does the facility have set goals and targets in relation to increased energy *If yes, what are the targets?*	◯ Yes	◯ No
II.E.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.F. Pollution Prevention

II.F.1	Does the facility consider Design for Environment (DfE) in its development of products?	◯ Yes	◯ No
II.F.2	Does the facility use life cycle assessment (LCA) as part of determining chemical selection for product inputs?	◯ Yes	◯ No
	Does the facility use chemical hazard assessment and/or comparative chemical hazard assessment as part of determining chemical selection for product inputs?	◯ Yes	◯ No
II.F.3	Does the facility assess whether substances stored, used, or handled on-site are prohibited by national or international laws or protocols?	◯ Yes	◯ No
II.F.4	Does the facility have a system in place to address pollution prevention and management of hazardous and potentially hazardous substances?	◯ Yes	◯ No
II.F.5	Does the facility maintain up-to-date material safety data sheets (MSDS) for all hazardous substances used on-site?	◯ Yes	◯ No

II. Environment (continued)

II.F.6	Does the facility set targets in relation to eliminating or reducing hazardous substances on-site? *If yes, what are the targets?*	◯ Yes	◯ No
II.F.7	Does the facility conduct tests to identify impact on soil and groundwater from facility operations?	◯ Yes	◯ No

II.G. Waste Management

II.G.1	Does the facility have a program and/or procedures to reduce or eliminate pollution and waste in its operations?	◯ Yes	◯ No
II.G.2	Does the facility have a recycling program to reduce or eliminate pollution and waste in its operations?	◯ Yes	◯ No
II.G.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?	◯ Yes	◯ No
II.G.4	Does the facility have set targets to reduce the volume of waste generated? *If yes, what are the targets?*	◯ Yes	◯ No
II.G.5	Does the facility maintain records of off-site transfer, treatment, and disposal of waste?	◯ Yes	◯ No
II.G.6	If the facility uses external waste contractors, does it conduct regular audits of those contractors?	◯ Yes	◯ No
	Do contractors have relevant certifications?	◯ Yes	◯ No
	Have contractors received any compliance violations within the past 3 years?	◯ Yes	◯ No

II.H. Packaging

II.H.1	Does the facility have goals and targets to reduce, reuse, and recycle the amount of packaging used for its products? *If yes, what are the targets?*	◯ Yes	◯ No
II.H.2	Does the facility incorporate packaging reduction, reuse, and recycling in its purchasing practices?	◯ Yes	◯ No

II. Environment (continued)

II.I. Water Management

II.I.1	Does the facility have a system in place to manage and monitor water withdrawals and consumption?	◯ Yes	◯ No
II.I.2	Does the facility have a program and/or procedures to reduce water use or reuse/recycle water?	◯ Yes	◯ No
II.I.3	Does the facility have set targets to reduce water consumption? *If yes, what are the targets?*	◯ Yes	◯ No
II.I.4	Does the facility have a system in place to address wastewater generation and management?	◯ Yes	◯ No
II.I.5	Does the facility treat wastewater prior to off-site discharge? *If yes, what is the standard?*	◯ Yes	◯ No
II.I.6	Does the facility identify the sources of its water (e.g. aquifers, municipal water sourced from local water body, harvested rain-water, etc.)?	◯ Yes	◯ No

II.J. Other Raw Materials

II.J.1	Does the facility keep inventory of all chemical substances used, stored, processed, and manufactured?	◯ Yes	◯ No
II.J.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?	◯ Yes	◯ No
II.J.3	Does the facility have a policy statement and/or management system that addresses conflict minerals?	◯ Yes	◯ No
II.J.4	Does the company engage with the government, commercial contacts, or civil society groups regarding conflict minerals and/or rare earth materials? *If yes, what are the targets?*	◯ Yes	◯ No

II.K. Transportation

II.K.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)? *If yes, what are the targets and programs?*	◯ Yes	◯ No

III. Social

III.A. Health & Safety

III.A.1. Facility

III.A.1.a	To which laws and regulations governing environment, health, and safety does the facility adhere? *Detail:*	◯ Yes	◯ No
III.A.1.b	Does the facility have up-to-date OHSAS 18001, ANSI Z10, CSA Z1000, BSI 8800, or OSHA VPP certification? *Please list relevant certifications:*	◯ Yes	◯ No
III.A.1.c	Does the facility have procedures in place to ensure appropriate machinery is wellmaintained and equipped with necessary safety devices?	◯ Yes	◯ No
III.A.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.A.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.A.1.f	How often are noise levels and air quality in the facility regularly monitored?	*Times per year:*	
III.A.1.g	Does the facility have a written emergency response plan and fire evacuation procedure?	◯ Yes	◯ No
III.A.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.A.1.i	How often does the facility conduct emergency drills?	*Times per year:*	
III.A.1.j	Are all emergency exits unobstructed and unlocked from the inside at all times during working hours?	◯ Yes	◯ No
III.A.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. Social (continued)

III.A.2. Facility Emergency Management

III.A.2.a	Does the facility have well-stocked, unlocked first aid stations at every production site?	◯ Yes	◯ No
III.A.2.b	Are all employees trained on relevant health and safety matters, including (select all that apply): ☐ Emergency management ☐ Machine safeguarding ☐ Hazardous materials handling ☐ Occupational health and safety ☐ Living conditions ☐ Personal protection equipment		
III.A.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.A.3. Dormitory (if applicable)

III.A.3.a	Are all emergency exits unlocked from the inside and unobstructed?	◯ Yes	◯ No
III.A.3.b	Are dormitory living conditions clean, secure, and adequately cooled, heated, lighted and ventilated?	◯ Yes	◯ No
III.A.3.c	Are dormitory accommodations in separate building(s) from production areas?	◯ Yes	◯ No
III.A.3.d	Are toilet facilities clean, ventilated, equipped with running water, accessible, and lighted at night?	◯ Yes	◯ No
III.A.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.A.3.f	Do all dormitories have fire alarms and extinguishers that are regularly tested?	◯ Yes	◯ No
III.A.3.g	Do all employees who reside in facility dormitories have means of securing personal documents themselves?	◯ Yes	◯ No

III.B. Regulatory Compliance - Social

III.B.1.a	The company has not been subject to any enforcement action by regulatory authorities for breaches of relevant employment, health & safety legislation in the last three years (note: 'Yes' confirms the absence of such enforcement actions in the past three years).	◯ Yes	◯ No
III.B.1.b	The company has not had any serious social-related complaints, claims, enforcement actions associated with employees or key stakeholders such as customers or suppliers in the last three years (note: 'Yes' confirms the absence of any such complaints, claims, or enforcement actions).	◯ Yes	◯ No

III.B.1.c	The company has not had any serious human rights or labour-related complaints, claims, enforcement actions in the last three years (note: 'Yes' confirms the absence of such complaints, claims or enforcement actions).	◯ 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	The company's suppliers have not had any serious human rights or labour-related complaints, claims, enforcement actions in the last three years (note: 'Yes' confirms the absence of such complaints, claims or enforcement actions).	◯ Yes	◯ No

III.C. Workplace Management

III.C.1	Does the facility have a written corporate responsibility policy or statement of commitment that defines its approach to labor, health, and safety standards?	◯ Yes	◯ No
III.C.2	Does the facility have policies that prohibit forced labor and child labor?	◯ Yes	◯ No
III.C.3	Does the facility have written personnel policies that cover (select all that apply): ☐ Benefits and deductions ☐ Discipline and termination ☐ Grievance procedures ☐ Harassment and abuse ☐ Overtime hours ☐ Overtime wage rates ☐ Regular hours ☐ Preventing soil & groundwater contamination ☐ Wastewater management ☐ Waste issues Does the policy cover all workers, including migrant workers?	◯ Yes	◯ No
III.C.4	Does the facility have a management system in place, or is it developing one, to assess labor, health, and safety risks?	◯ Yes	◯ No
III.C.5	Is the facility performance management system in compliance with applicable social laws and regulations?	◯ Yes	◯ No
III.C.6	Does the facility have up-to-date SA8000, ETI, or other recognized certification? *Please list relevant certifications:*	◯ Yes	◯ No
III.C.7	Does the facility have a system in place for employee appraisal that covers regular workers and probationary employees/ trainees?	◯ Yes	◯ No
III.C.8	Are formal and written policies and procedures for disciplining and terminating employees standardized throughout the facility?	◯ Yes	◯ No
III.C.9	Does the facility strictly prohibit physical punishment of employees as a disciplinary measure?	◯ Yes	◯ No

III. Social (continued)

III.C.10	Are labor, health, and safety policies, practices, and expectations communicated to all employees and suppliers in local or appropriate languages?	◯ Yes	◯ No

What communication vehicles are used? (Select all that apply)

- ☐ Bulletin board posting
- ☐ Electronic mail
- ☐ Formal training
- ☐ Manager meeting

III.D. Forced Labor

III.D.1	Does the facility does employ prison labor?	◯ Yes	◯ No
III.D.2	Are any of the workers under bond, debt, or other obligation to the facility or to labor brokers?	◯ Yes	◯ No
III.D.3	Are workers free to resign from their employment at any time without penalty, giving reasonable notice?	◯ Yes	◯ No
III.D.4	Are workers free to leave the facility and related dormitories during non-working hours and at the end of their shift?	◯ Yes	◯ No
III.D.5	Does the facility (or labor broker) withhold worker ID cards or passports?	◯ Yes	◯ No
III.D.6	Are workers required to deposit money prior to or during employment?	◯ Yes	◯ No

III.E. Child Labor & Young Workers

III.E.1	Does the facility employ child labor (workers younger than 14 or 15)?	◯ Yes	◯ No
III.E.2	Are young workers (above the legal minimum age, but under the age of 18) requiring protective restrictions employed in accordance with the law?	◯ Yes	◯ No
III.E.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?	◯ Yes	◯ No
III.E.4	Does the factory have effective procedures for verifying workers' ages?	◯ Yes	◯ No

III.F. Discrimination

III.F.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):	◯ Yes	◯ No

- ☐ Age
- ☐ Disability
- ☐ Gender
- ☐ Gender identity and/or expression
- ☐ Marital status
- ☐ Medical history
- ☐ Nationality
- ☐ Political opinion
- ☐ Pregnancy status
- ☐ Race
- ☐ Religion
- ☐ Sexual orientation
- ☐ Social or ethnic origin
- ☐ Union affiliation
- ☐ Veteran status

III. Social (continued)

III.F.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?	◯ Yes	◯ No
III.F.3	Are female applicants asked about their pregnancy status when applying for a job?	◯ Yes	◯ No
III.F.4	Are employees permitted to perform religious obligations without restriction?	◯ Yes	◯ No

III.G. Freedom of Association & Collective Bargaining

III.G.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?	◯ Yes	◯ No
III.G.2	Are workers free to join or form trade unions or workers' organizations of their own choosing and collectively bargain, if permitted by law?	◯ Yes	◯ No
III.G.3	Which of the following types of labor organizations are present and active in the facility? (Select all that apply) ☐ Dormitory committee ☐ Government union ☐ Health & safety committee ☐ Independent trade union ☐ Worker's committee ☐ Other	◯ Yes	◯ No
III.G.4	Are employees in the facility able to participate democratically in the selection of representatives for labor organizations (if applicable)?	◯ Yes	◯ No

III.H. Harassment & Abuse

III.H.1	Does the facility have a formal, written policy that clearly states a commitment to prevent harassment and abuse in the workplace?	◯ Yes	◯ No
III.H.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?	◯ Yes	◯ No
III.H.3	Does the facility have procedures in place to ensure the workplace is free of sexual harassment?	◯ Yes	◯ No
III.H.4	Does the facility have procedures in place to ensure the workplace is free of verbal abuse and/or harassment?	◯ Yes	◯ No
III.H.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?	◯ Yes	◯ No

III. Social (continued)

III.I. Compensation

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

III.J. Hours of Work

III.J.1	Which laws regulating working hours apply to this facility? *Detail:*	◯ Yes	◯ No
III.J.2	Which laws regulating overtime hours are applicable to this facility? *Detail:*	◯ Yes	◯ No
III.J.3	Does the facility have procedures in place to ensure all workers are given at least one day off in seven?	◯ Yes	◯ No
III.J.4	Does the facility have procedures in place to ensure all overtime performed at the facility is voluntary?	◯ Yes	◯ No

IV. Governance

IV.A. Board Structure Independence & Accountability

IV.A.1	Does the Board of Directors include executive and non-executive directors?	◯ Yes	◯ No
IV.A.2	Is the Chairman of the Board independent?	◯ Yes	◯ No
IV.A.3	Does the company have a diverse board and a policy for ensuring diversity of board members?	◯ Yes	◯ No
IV.A.4	Does the company avoid conflicts of interest in their choice of board members?	◯ Yes	◯ No
IV.A.5	Are company shareholders consulted in relation to Board composition?	◯ Yes	◯ No
IV.A.6	Is there a remuneration committee and is executive compensation consistent with the company's code of ethics/ conduct or value statements?	◯ Yes	◯ No
IV.A.7	Has the company established an ESG committee/steering committee at board level to monitor ESG performance?	◯ Yes	◯ No
IV.A.8	Does the ESG committee/steering committee meet regularly and is it chaired by a senior executive or board member?	◯ Yes	◯ No
IV.A.9	Is a board member assigned dedicated responsibility for ESG/ sustainability/CSR matters within the company?	◯ Yes	◯ No
IV.A.10	Are ESG issues and ESG improvement opportunities regularly discussed at board level?	◯ Yes	◯ No
IV.A.11	Does company leadership respond to and interact with its shareholders and are company shareholders allowed to vote on important ESG issues?	◯ Yes	◯ No
IV.A.12	Does the Board of Directors communicate with management about governance and ESG issues raised?	◯ Yes	◯ No
IV.A.13	Does the company practice responsible disclosure, transparency, and accountability to all stakeholders?	◯ Yes	◯ No
IV.A.14	Are the company's accounting methods accurate, transparent, and aligned with its code of conduct and ethical standards?	◯ Yes	◯ No
IV.A.15	Does the company include information about actual and potential material climate risks in its financial statements?	◯ Yes	◯ No
IV.A.16	Are the company's annual reports 'Paris-aligned' to properly reflect the impact on assets, liabilities, profits, and losses of getting to net zero emissions by 2050?	◯ Yes	◯ No
IV.A.17	Does the company publicly report ESG performance in accordance with any of the leading sustainability framework and standard-setting organizations e.g. the Carbon Disclosure Project (CDP), the Climate Disclosure Standards Board (CDSB), the Global Reporting Initiative (GRI), the International Integrated Reporting Council (IIRC), or the Sustainability Accounting Standards Board (SASB)?	◯ Yes	◯ No

IV.B. Accountability

IV.B.1	Does the facility have a management representative assigned responsibility for assuring compliance with environmental laws, regulations, and codes? *List the name(s) and title(s):*	◯ Yes	◯ No
IV.B.2	Does the facility have a management representative assigned responsibility for assuring compliance with labor, health, and safety laws, regulations, and codes? List the name(s) and title(s). *List the name(s) and title(s):*	◯ Yes	◯ No
IV.B.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.B.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.B.5	Are corrective actions identified by the environmental, labor, health, and safety audits tracked to closure?	◯ Yes	◯ No
IV.B.6	Does the corrective action process include root cause analysis and preventative mechanism implementation?	◯ Yes	◯ No
IV.B.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.C. Grievance and Remediation

IV.C.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.C.2	Does the facility have procedures in place to investigate reports of environmental and/or work-related violations and/or concerns?	◯ Yes	◯ No
IV.C.3	In the past year, how many complaints have been received and investigated? How many have been resolved?	*Received:*	*Resolved:*

IV.D. Supplier Management (if applicable)

IV.D.1 In the past year, how many complaints have been received and investigated? How many have been resolved?

Detail:

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

Detail:

IV.E. Stakeholder Engagement

IV.E.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.E.2 What procedures does the facility have in place to incorporate stakeholder input into its business and operational strategies? ◯ Yes ◯ No

Detail:

IV.E.3 Does the facility publicly disclose results of its stakeholder engagement? ◯ Yes ◯ No

If yes, please provide a link to the disclosure:

IV. Board Structure, Independence & Accountability (continued)

IV.F. Disclosure

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

IV.F.4 Provide a list of all attached documents:

Attached document names:

Attached document names:

IV.F.5 Additional comments, if needed:

Detail:

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