

A. Company Management (General)

1. Does your company have a **management person** responsible for:

1a. Social sustainability

☐ No

☐ Yes *If yes, please provide:*

Name:

e-mail:

1b. Business Conduct and Compliance

☐ No

☐ Yes* *If yes, please provide:*

Name:

e-mail:

1c. Environmental sustainability

☐ No

☐ Yes* *If yes, please provide:*

Name:

e-mail:

* Please fill out the contact details, even if the person is the same as above.

2. Does your company publish a **Corporate Social Responsibility (CSR)/ Sustainability Report**?

☐ No

☐ No, but we publish:

☐ Environmental report

☐ CSR/Sustainability report integrated in annual report

☐ Other (please specify)

☐ Yes *If yes, please insert web link or upload report*

2a. Is your most recent report assured by a third party?

☐ No

☐ Yes *If yes, please provide the name of the third party:*

2b. Are the operations of all your company sites included in that report?

☐ No

☐ Yes

Background

Social sustainability relates to practices that contribute to the quality of life of both employees and communities that could be impacted by the company's operations. Examples of social topics to address include working conditions, non-discrimination, freedom of association and collective bargaining, health and safety at work, etc. (See Section B)

Business conduct and compliance relate to the principles that guide business conduct in its relations towards its business partners and customers. Examples of unethical business practice include corruption, extortion and bribery. (See Section C)

Environmental sustainability relates to practices that contribute to the quality of the environment on a long-term basis. Examples of company practices include recycling programmes, carbon emissions reduction programmes, programmes for waste management, etc. (See Section D)

Companies are expected to appoint a senior management representative, who irrespective of other responsibilities, serves as a **management person** responsible to ensure that the company meets its commitment related to social sustainability, business conduct and compliance and environmental sustainability.

The contact details that you provide in response to this question will not be contacted without prior notice. In the first instance, enquiries will be directed to the person that completes this self-assessment questionnaire.

A **CSR/ sustainability report** is an organisational report that gives information about economic, environmental, social and ethical performance.

An **environmental report** is a systematic document published by companies with the aim of communicating with stakeholders on the most relevant environmental issues.

Source: Forum on Environmental Reporting – Guidelines for preparation

A. Company Management (General)	Background
3. Does your company have a Code of Conduct in place? ☐ No ☐ Yes <i>please upload relevant document</i> 3a. Is the Code of Conduct enforced at this site? ☐ No ☐ Yes	A Code of Conduct is a set of rules outlining the responsibilities or proper practice for an individual (employee) and organisation. It covers social, ethical and environmental aspects.
4. Does your company organise training sessions to enhance the understanding of Corporate Social Responsibility/Sustainability at your site? ☐ No ☐ No, but we plan to implement such training sessions Please specify: (Month/Year) ☐ Yes, training sessions are implemented on irregular basis ☐ Yes, training sessions are implemented on regular basis 4a. On which of the following topics do your organise training sessions? ☐ Code of Conduct ☐ Social issues ☐ Anti-corruption and ethics ☐ Health & safety ☐ Environmental management	Training sessions to enhance the understanding of CSR/ Sustainability refers to companies training their employees on the expectations, policies and procedures relating to Corporate Social Responsibility within the company context. Training is intended to raise awareness on CSR topics, so that specific functions could identify and act on issues they encounter in their day-to-day activities. Training could be function-specific (e.g. trainings for buyers, managers, etc.), or topic-specific (e.g. on anti-corruption, Health&Safety, etc.) Corporate Social Responsibility (CSR) is a process for companies to integrate social, environmental, ethical and human rights concerns into their operations and core strategy, in close collaboration with their stakeholders Source: European Commission, EU Strategy on CSR 2011 - 2014 Examples of social issues that companies could conduct training sessions on include non-discrimination, human rights, etc.(See Section B)
5. Have employees from your site participated in external Corporate Social Responsibility/Sustainability training? ☐ No ☐ Yes 5a. Who organised the training? ☐ An OEM Please specify: (Month/Year) ☐ The Automotive Industry Action Group (AIAG) Please specify: (Month/Year) ☐ The European Working Group on Supply Chain Sustainability Please specify: (Month/Year) ☐ Other (please specify)	

B. Social Sustainability

6. For which of the following **social issues** does your company have a **policy**?

- ☐ Respect for human rights (e.g. fair treatment)
- ☐ No forced or compulsory labour
- ☐ No child labour (e.g. no worker under legal working age, etc.)
- ☐ Working conditions (e.g. mandatory days off, etc.)
- ☐ Wages & benefits (e.g. no unpaid overtime, etc.)
- ☐ Non-discrimination (e.g. age, gender, religion, race, etc.)
- ☐ Freedom of association
- ☐ Collective bargaining

please upload relevant document

Background

A company policy refers to a business approach to a given issue and contains general principles and/or practical how-to-do items. A policy may include components such as prohibited behaviours, rights, and dispute procedures. Social issues could be contained in the company HR policy, CSR policy, Human Rights policy, etc.

Human rights are the rights we are entitled to simply because we are human beings. They represent the universally agreed minimum conditions that enable all people to maintain their dignity. Human rights are inherent to all of us, whatever our nationality, place of residence, sex, national or ethnic origin, colour, religion, or any other status.

Source: European Commission, Guide for SMEs

Forced or compulsory labour refers to all work or service exacted from any person under the menace of any penalty and for which that person has not offered himself voluntarily. Examples include forced overtime, retention of identity documents, etc.

Source: International Trade Union Confederation

Child labour relates to the prohibition of employment of children who are under the legal minimum working age. Young people admitted to work must have working conditions appropriate to their age and be protected against economic exploitation and any work likely to harm their safety, health or physical, mental, moral or social development or to interfere with their education.

Source: EU Charter of Fundamental Rights

Working conditions refer to the working environment and aspects of an employee's terms and conditions of employment. Examples include health, safety and well-being; maximum daily and weekly working hours, including mandatory days off, annual paid leave etc.

Source: EU Charter of Fundamental Rights

Wages & benefits relate to the basic or minimum wage or salary and any additional entitlements payable directly or indirectly, in cash or in kind, by the employer to the worker and arising out of the worker's employment. Examples include paid sick days, family and medical leave, paid overtime, etc.

Source: ILO-UNGC

Non-discrimination is a principle that requires the equal treatment of an individual or group irrespective of their particular characteristics, including sex, race, colour, ethnic or social origin, genetic features, language, religion or belief, political or any other opinion, membership of a national minority, property, birth, disability, age or sexual orientation.

Source: EU Charter of Fundamental Rights

Freedom of association relates to the right to freedom of peaceful assembly and to freedom of association at all levels, in particular in political, trade union and civic matters, which implies the right of everyone to form and to join trade unions for the protection of his or her interests.

Source: EU Charter of Fundamental Rights

Collective bargaining is a process of negotiations between employers and a group of employees aimed at reaching an agreement that regulates working conditions.

Source: EU Charter of Fundamental Rights

B. Social Sustainability	Background
7. Does your site have a management system in place to manage the above mentioned social issues? ☐ No, on none of the above ☐ Yes, on some of the above Please specify: ☐ Yes, on all of the above 7a. To what extent is your social management system documented? ☐ Full set of documented procedures <i>please upload relevant document</i> ☐ Some documented procedures ☐ No documented procedures	A management system is a set of documented controls, processes and/or procedures reviewed by management. It could be internal or developed according to a standard. Examples of relevant social standards include: • ISO26000 Guidance social responsibility • ISO31000 Risk management • ISO/IEC31010 Risk assessment techniques • BS8903 Principles for procuring sustainably • SA8000 Social management system
8. Have social audits been conducted at this site? ☐ No ☐ Yes, internal audits ☐ Yes, external 3rd party audits 8a. Awarding body 8b. Certificate number 8c. Date 8d. Next review <i>please upload relevant document</i>	Social audits enable an organisation to assess and demonstrate its compliance to legislation and social, economic, and environmental benefits and limitations. It is a way of measuring the extent to which a company lives up to the shared values and objectives it has committed itself to. Social audits can be conducted internally or by an external 3rd party body that issues a certificate.
9. Does your company have a written health & safety policy in place, which complies with industry, national and international standards? ☐ No ☐ Yes <i>please upload relevant document</i> 9a. Have specific activities on health & safety been organised at this site during the past year? ☐ No ☐ Yes <i>please upload relevant document</i>	Examples of specific activities on Health & Safety include: • Training and use of Personal Protection Equipment • Training on company Health & Safety policy • Training on work with hazardous materials • Distribution of educational materials on health & safety procedures • Information campaign for workers on health & safety procedures specific to the site
10. Does this site have a health and safety management system in place? ☐ No ☐ Yes <i>please upload relevant document</i> 10a. Is the system certified? ☐ No ☐ Yes <i>If yes, please provide:</i> Awarding body: Certificate number: Next review: <i>please upload relevant document</i>	Health and safety management system relates to organised efforts and procedures for identifying workplace hazards and reducing accidents and exposure to harmful situations and substances. It also includes the training of personnel in accident prevention, accident response, emergency procedures, and use of protective clothing and equipment. Examples of relevant standards and certification include: • DHSAS 18001 • ILO-O5H

Background

B. Social Sustainability

11. Have **health and safety** audits been conducted at this site?

- ☐ No
- ☐ Yes, internal audits
- ☐ Yes, external 3rd party audits

11a. Awarding body

11b. Certificate number

11c. Date

11d. Next review

please upload relevant document

C. Business Conduct and Compliance

12. Does your company have a formal policy in place regarding business conduct and compliance? (corruption, extortion, bribery)

- ☐ No
- ☐ Yes *please upload relevant document*

12a. Are the following areas covered by this policy or the related processes and procedures?

- ☐ Corruption, including extortion
- ☐ Bribery

13. Does this site have a business conduct and compliance ethics management system in place?

- ☐ No
- ☐ Yes *please upload relevant document*

13a. To what extent is your business conduct and compliance management system documented?

- ☐ Full set of documented procedures
please upload relevant document
- ☐ Some documented procedures
- ☐ No documented procedures

Corruption can take many forms that vary in degree from the minor use of influence to institutionalised bribery. It is defined as the abuse of entrusted power for private gain. This can mean not only financial gain but also non-financial advantages.

Source: UN Global Compact and Transparency International

Extortion: The solicitation of bribes is the act of asking or enticing another to commit bribery. It becomes extortion when this demand is accompanied by threats that endanger the personal integrity or the life of the private actors involved.

Source: UN Global Compact and OECD Guidelines for Multinational Enterprises

Bribery is an offer or receipt of any gift, loan, fee, reward or other advantage to or from any person as an inducement to do something which is dishonest, illegal or a breach of trust, in the conduct of the enterprise's business.

Source: UN Global Compact and Transparency International

D. Environmental Sustainability

14. Does your company have a formal **environmental policy**, which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?

☐ No

☐ Yes *please upload relevant document*

14a. Are the following areas covered by this policy or the related processes and procedures?

☐ Energy consumption

☐ Water usage

☐ Air emissions

☐ Waste management

☐ Restricted substances and chemical handling

An **environmental policy** shows the company's overall intentions and direction related to its environmental performance. It reflects the company's commitment and is formally expressed by top management.

It provides a framework for action, setting environmental objectives which take into account applicable legal and other requirements and the company's environmental impact of its operations, products and services, with the purpose of decreasing the environmental impact, saving resources and costs.

15. Does this site have an **environmental management system** in place?

☐ No

☐ Yes *please upload relevant document*

15a. Is the system certified?

☐ No

☐ Yes *If yes, please provide:*

Awarding body:

Certificate number:

Next review:

please upload relevant document

An **environmental management system** enables a company, in a structured and preventive way, to work with its environmental performance and improve environmental impact from its operations, products and services. Examples include: developing a policy/directions; establishing objectives; subscribing to legal and other requirements; risk management; implementing working procedures to achieve continuous improvements to support environmental protection; and reducing or preventing of pollution.

Examples of relevant standards and certification include:

- ISO14001 EMS
- ISO14064 GHG
- PAS 2060 Carbon neutrality
- BS/EN/ISO14006:2011/14004:2010/14001:2004 Environmental management systems
- BS8555 Certification: Implementation of environmental management systems
- PAS2050 Carbon footprint
- EU Eco-Management and Audit Scheme (EMAS)

D. Environmental Sustainability

This question is not relevant for service providers

16. Does your facility have work procedures to manage the **use of restricted substances and chemicals**?

☐ No

☐ Yes please upload relevant document

16a. Is the system certified?

☐ No

☐ Yes If yes, please provide:

Awarding body:

Certificate number:

Next review:

please upload relevant document

Examples of regulations on restricted substances and chemical handling:

(1) REACH (Registration, Evaluation, Authorisation, and Restriction of Chemicals):

REACH is a European Union Regulation addressing the production and use of chemical substances, and their potential impact on both human health and the environment. The regulation defines and includes substances, preparations and articles. Manufacturers and importers are required to gather information on the properties of their chemical substances and to register the information in a central database run by the European Chemicals Agency.

(2) RoHS (Restriction of Hazardous Substances):

RoHS or the Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment Directive (2011/65/EU) bans the placing on the EU market of new electrical and electronic equipment containing more than the agreed levels of lead, cadmium, mercury and other substances.

17. Have **environmental audits** been conducted at this site?

☐ No

☐ Yes, internal audits

☐ Yes, external audits

17a. Awarding body:

17b. Certificate number:

17c. Date:

17d. Next review:

please upload relevant document

Environmental audits enable an organisation to assess and demonstrate its compliance to legislation; environmental performance; and the benefits and limitations of its environmental policy. It is a way of measuring the extent to which a company lives up to the shared values and objectives it has committed itself to.

Environmental audits can be conducted internally or by an external body that issues a certificate.

E. Supplier Management

18. Does your company have a **Supplier CSR/Sustainability Policy**?

☐ No

☐ Yes *please upload relevant document*

18a. Which areas are covered by this policy?

☐ Respect for human rights

☐ No forced or compulsory labour

☐ No child labour

☐ Working conditions

☐ Remuneration

☐ Non-discrimination

☐ Freedom of association

☐ Collective bargaining

☐ Anti-corruption & bribery

☐ Health & safety

☐ Environment

18b. Are all suppliers covered by this policy?

☐ No (please specify)

☐ Yes

18c. Does your Supplier CSR/Sustainability Policy apply to your plant-based purchasing?

☐ No

☐ Yes

Examples of **Supplier CSR/Sustainability Policy** could be a specific Supplier Code of Conduct or a Company Conduct document which applies to both internal employees as well as external business partners, such as suppliers.

The objective should be to promote healthy working conditions and environmental responsibility throughout the entire supply chain.

19. Does your company communicate its **Supplier CSR/Sustainability Policy** to your suppliers?

☐ No

☐ Yes

19a. How is the Supplier CSR/Sustainability Policy communicated?

☐ During supplier meetings

☐ In contractual terms

☐ Through brochures/magazines/newsletters/web-page

E. Supplier Management

20. Which processes do you have in place to ensure that your **Supplier Sustainability Policy** is effectively implemented by your suppliers?
- ☐ Self-assessment questionnaire *please upload relevant document*
- ☐ Audits conducted by your company
- ☐ Supplier meetings
- ☐ Audits conducted by an external auditor
- ☐ Other (please specify)
- ☐ None

F. Special Areas

This question is not relevant for service providers

21. Do the products of this site contain any of the following minerals: tantalum, tin, gold or tungsten?

- ☐ No
- ☐ Yes

- 21a. If yes, do the minerals originate from a conflict region, e.g. the Democratic Republic of Congo region?

- ☐ No, they originate from (please specify)
- ☐ We don't know where the minerals originate from
- ☐ Yes, they originate from (please specify)

- 21b. Are the minerals sourced from recognized smelters listed in the EICC GeSI conflict minerals reporting template?

- ☐ No
- ☐ Yes (please specify)

If the products of this site contain any of the above minerals, please upload relevant conflict minerals reporting template.

Example of legislation relating to "conflict minerals":

Dodd-Frank Wall Street Reform and Consumer Protection Act, US federal law

The Dodd-Frank Act requires companies listed in the US stock exchange or American companies of a certain size to disclose their use of so called conflict minerals (tantalum, tin, gold and tungsten sourced from the Democratic Republic of Congo and its neighbouring states).

Companies that are at risk of using conflict minerals are required to undertake due diligence on the sourcing and file a conflict minerals report.

Examples of conflict minerals reporting template:

(1) EICC-GeSI Conflict Minerals Reporting Template

This template was created by the Electronic Industry Citizenship Coalition (EICC) and the Global e-Sustainability Initiative (GeSI). It is used by some companies as a means for the collection of sourcing information related to "Conflict Minerals".

[EICC GeSI conflict minerals reporting template.](#)

G. Additional Information

22. Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.)