

**Sustainability Assessment Questionnaire: SAQ 4.0 to SAQ 5.0 Change Record**

The Sustainability Assessment Questionnaire (SAQ) is a recognised and continually evolving sustainability standard for the automotive industry. The update from SAQ 4.0 to SAQ 5.0 will incorporate new content to reflect the growing focus on environmental and human rights practices in the supply chain, driven by new legislation and the need for companies to demonstrate effective due diligence in this area.

The below table compares all SAQ 4.0 questions with the corresponding SAQ 5.0 questions and provides an overview of the changes that have been implemented.

Based on the impact of the modifications, the introduced changes fall under four different categories, outlined in the colour key to the right.

**CHANGE COLOUR KEY**

**MINOR:** the meaning of the question and/or the suggested answers remained the same; the change occurred mainly in wording and is not significant.  
**MAJOR:** the question and/or the suggested answers were significantly altered.  
**NEW QUESTION:** a new question has been added to SAQ 5.0 which was not included in SAQ 4.0.  
**QUESTION REMOVED:** a question has been removed from SAQ 5.0 which was included in SAQ 4.0.

SAQ 4.0			CHANGE	SAQ 5.0			Change description
Section	Question number	Question		Section	Question number	Question	
<b>A. PROFILE DETAILS</b>				<b>0. PROFILE DETAILS</b>			
	0a	Please provide details of the location you are completing this assessment for			0a	Please provide details of the location you are completing this assessment for	
	0b	What is the staff headcount at this location?			0b	What is the staff headcount at this location?	
	0d	Is this location your company headquarters?	QUESTION REMOVED				
	0e	Please provide your ultimate parent company's address details			0c	Please provide your <b>ultimate</b> parent company's address details	
	0f	What is the staff headcount of your ultimate parent company?			0d	What is the total staff headcount for the company group?	
	0g	Which category best describes the main business activity of your company?	QUESTION REMOVED				
	0h	Which category best describes your company's business area? Please select the main category for your company.	MAJOR		0e	Which category best describes your company's business area? Please select the main category for your company.	The new answer options for this question of SAQ 5.0 now consist of NACE® categories, whereas SAQ 4.0 used UNSPSC codes. NACE® is a global classification system of products and services.
			NEW QUESTION		0f	Select a commodity category that best describes what is produced at this location.	
	0i	Which sub-category best describes your company's business activity? Please select the main sub-category for your company.	QUESTION REMOVED				
			MAJOR		0g	Please select the questions that you wish to complete.	SAQ 5.0 has been designed to be a modular assessment where minimum requirements (referred to as Minimum Scope) are defined for different industries. This new question will display the minimum scope questions (i.e. mandatory questions) for the selected industry sector of the supplier. It will also show the optional questions that a supplier can choose to answer if required.
<b>B. COMPANY MANAGEMENT</b>				<b>A. COMPANY MANAGEMENT</b>			
			NEW QUESTION		1	Has your company appointed senior management representation for environmental, social, ethics or human rights?	
	1a	Does your company have a <b>Social Sustainability</b> responsible management person?			1a	Does your company have a management person responsible for <b>Social Sustainability</b> ?	
	1b	Does your company have a <b>Compliance</b> responsible management person?			1b	Does your company have a management person responsible for <b>Compliance/ Business Ethics</b> ?	
	1c	Does your company have an <b>Environmental Sustainability</b> responsible management person?			1c	Does your company have a management person responsible for <b>Environmental Sustainability</b> ?	
			NEW QUESTION		1d	Does your company have a management person responsible for monitoring <b>sustainability risks</b> (e.g. a Human Rights Officer)?	
	2	Does your company publish a <b>Corporate Social Responsibility (CSR)/Sustainability Report</b> ?	MINOR		2	Does your company publish a <b>Corporate Social Responsibility (CSR)/Sustainability Report</b> ?	The answer options have been amended to include the following: - Yes, as a separate report according to the Global Reporting Initiative (GRI) or other globally accepted standard - Yes, as an integrated part of the Annual Report, e.g. Annual and Sustainability Report, according to GRI or other globally accepted standard - Yes, but not according to globally accepted standards - No
	2a	Is the most recent report assured by a third party?	MINOR		2a	Is the most recent report assured by a third party?	The answer options have been amended to include the following: - Yes, the assurance letter is included in the report - Parts are assured, the scope is explained in the assurance letter - No
			NEW QUESTION		2b.1	What <b>human rights</b> elements are disclosed in the CSR report?	
			NEW QUESTION		2b.2	What <b>environmental</b> elements are disclosed in the CSR report?	
			NEW QUESTION		2c	Does your company report annually on the fulfilment of statutory due diligence obligations (e.g. the German LkSG) in the previous year?	
	3	Does your company have a <b>Code of Conduct</b> ?			3	Does your company have a <b>Code of Conduct</b> ?	
	3a	Do you organise training for your employees on the <b>Code of Conduct</b> ?	MINOR		3a	Does your company organise training for your employees on the <b>Code of Conduct</b> ?	The list of accepted documents has been expanded to include the following: Relevant management system certification e.g. environmental or health and safety
	4	Does your company provide a <b>grievance mechanism</b> through which impacted stakeholders and rights holders can raise complaints and seek to have them addressed with the enterprise?	MINOR		4	Does your company have a grievance mechanism or documented complaints procedure established at this location?	The question has been reworded but fulfills the same purpose.
			NEW QUESTION		4a	What are the characteristics of your company's grievance mechanism or complaints procedure? Please tick all that apply.	
			NEW QUESTION		4b	What kind of complaints can be submitted? Please tick all that apply.	
			NEW QUESTION		4c	Which stakeholder groups is the complaints mechanism available to? Please tick all that apply.	
			NEW QUESTION		4d	How does your company optimise accessibility of the complaints procedure for all the stakeholder groups that are entitled to use it? Please tick all that apply.	
<b>C. WORKING CONDITIONS AND HUMAN RIGHTS</b>				<b>B. HUMAN RIGHTS AND WORKING CONDITIONS</b>			
	5	Does your company have a formal policy covering <b>working conditions and human rights</b> ?			5	Does your company have a formal policy covering <b>human rights and working conditions</b> ?	
	5a	Which of the following areas are covered by this policy?	MAJOR		5a	Which of the following areas are covered by this policy? Please tick all that apply.	The list of answer options has been expanded to include the following: Ethical recruiting Non-discrimination and harassment (rather than Harassment and non-discrimination) Women's rights Diversity, Equity and Inclusion Rights of Minorities and Indigenous Peoples Land, Forest and Water Rights and Forced Eviction Use of Private or Public Security Forces

SAQ 4.0				SAQ 5.0			
Section	Question number	Question	CHANGE	Section	Question number	Question	Change description
	5b	Do you organise training for your employees on your <b>working conditions and human rights</b> policy?	MINOR		5b	Does your company organise training for your employees on your <b>human rights and working conditions</b> policy?	The list of accepted documents has been expanded to include the following: <i>Human rights and working conditions management system certification</i>
	6	Does your site have a management system in place to manage <b>working conditions and human rights</b> issues?	MINOR		6	Does your site have a management system in place to manage the <b>human rights and working conditions</b> issues?	The list of accepted documents has been expanded to include the following: <i>RSCI audit certificate (FULL label)</i>  The following documents are no longer accepted: <i>ISO 26000 Guidance Social Responsibility</i>
<b>D. HEALTH AND SAFETY</b>				<b>C. HEALTH AND SAFETY</b>			
	7	Does your company have a formal written <b>Health and Safety</b> policy in place, which complies with local law, industry requirements and international standards?			7	Does your company have a formal written <b>health and safety</b> policy in place, which complies with local law, industry requirements and international standards?	
	7a	Which of the following areas are covered by this policy?	MINOR		7a	Which of the following areas are covered by this policy? Please tick all that apply.	The answer option of 'Handling of Chemicals' in SAQ 4.0 is now 'Handling of Chemicals and biological and physical substances' in SAQ 5.0
	7b	Do you organise training for your employees on your <b>Health and Safety</b> policy?	MINOR		7b	Does your company organise training for your employees on your <b>health and safety</b> policy?	The list of accepted documents has been expanded to include the following: <i>Health and safety management system certification</i>
	8	Does your site have a <b>health and safety management system</b> in place?			8	Does your site have a <b>health and safety management system</b> in place?	
<b>E. BUSINESS ETHICS</b>				<b>D. BUSINESS ETHICS</b>			
	9	Does your company have a formal policy in place regarding <b>business ethics</b> ?			9	Does your company have a formal policy in place regarding <b>business ethics</b> ?	
	9a	Which of the following areas are covered by this policy?	MINOR		9a	Which of the following areas are covered by this policy? Please tick all that apply.	The answer option of 'Corruption, extortion and bribery' in SAQ 4.0 is now 'Anti-Corruption and Anti-Money Laundering' in SAQ 5.0.  The answer option of 'Privacy' in SAQ 4.0 is now 'Data Protection and Data Security' in SAQ 5.0
	9b	Do you organise training for your employees on your <b>business ethics</b> policy?			9b	Does your company organise training for your employees on your <b>business ethics</b> policy?	
<b>F. ENVIRONMENT</b>				<b>E. ENVIRONMENT</b>			
	10	Does your company have a formal <b>environmental policy</b> , which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?			10	Does your company have a formal <b>environmental policy</b> , which includes a commitment to legal compliance, continuous measurement and continuous improvements in environmental performance?	
	10a	Which of the following areas are covered by this policy?	MAJOR		10a	Which of the following areas are covered by this policy? Please tick all that apply.	The list of answer options has been expanded to include the following: <i>Decarbonisation</i> <i>Reuse and recycling</i> <i>Animal welfare</i> <i>Biodiversity, land use and deforestation</i> <i>Soil quality</i> <i>Noise emissions</i>
	10b	Do you organise training for your employees on your <b>environmental policy</b> ?	MINOR		10b	Does your company organise training for your employees on your <b>environmental policy</b> ?	The list of accepted documents has been expanded to include the following: <i>Environmental management system certification</i>
	11	Does your site have an <b>environmental management system</b> in place?			11	Does your site have an <b>environmental management system</b> in place?	
	11a	Does your site have an <b>environmental program</b> that includes targets, activities, and performance monitoring to continuously improve its environmental performance?	QUESTION REMOVED				
	12	Does your site have an <b>energy management system</b> ?			12	Does your site have an <b>energy management system</b> ?	
	12a	Are you aware of what percentage of energy used at your site in the last calendar year came from renewable sources?	QUESTION REMOVED				
	12a.1	Please indicate the percentage of energy used at your site that was sourced from renewable energy sources.	MAJOR		13	What percentage of <b>electricity</b> used at your site in the last calendar year came from renewable sources?	The question 12a.1 in SAQ 4.0 has been split into questions 13 and 14 in SAQ 5.0 in order to distinguish between the different types of energy being used from renewable sources
					14	What percentage of <b>heating/cooling</b> used at your site in the last calendar year came from renewable sources?	
			NEW QUESTION		15	Does your company set Greenhouse Gas reduction targets?	
			NEW QUESTION		15a	Are the targets Science Based Target Initiative (SBTI) approved?	
			NEW QUESTION		15b	Does your company have emission reduction targets for your upstream supply chain emissions (scope 3)?	
	13	Does your site use <b>restricted substances</b> with restrictions in production or operations?	MINOR		16	Does your site use any <b>substances with restrictions</b> under any national or international statutory provision in production or operations?	The question has been reworded but fulfills the same purpose
	13a	Does this site have written <b>procedures to manage substances with restrictions</b> ?	MINOR		16a	Does this site have written <b>procedures to manage substances with restrictions</b> under any regulations?	The question has been reworded but fulfills the same purpose
			NEW QUESTION		16b	Which of the following areas are covered by these written procedures? Please tick all that apply.	
	14	Does your company have a <b>CDP report</b> for the past 12 months?	MINOR		17	Does your company have a current <b>CDP score</b> ?	The question has been reformatted and split into questions 17, 17a, 17b and 17c in SAQ 5.0 but fulfills the same purpose
			MINOR		17a	Please specify your CDP score related to <b>Climate Change</b>	
			MINOR		17b	Please specify your CDP score related to <b>Water</b>	
			MINOR		17c	Please specify your CDP score for related to <b>Forest</b>	

SAQ 4.0				SAQ 5.0			
Section	Question number	Question	CHANGE	Section	Question number	Question	Change description
G. SUPPLIER MANAGEMENT				F. RESPONSIBLE SUPPLY CHAIN MANAGEMENT			
	15	Does your company have set CSR/Sustainability requirements towards suppliers?			18	Does your company have set CSR/Sustainability requirements towards suppliers?	
	15a	Which areas are covered by these CSR/Sustainability requirements?	MAJOR		18a	Which areas are covered by these CSR/Sustainability requirements? Please tick all that apply.	<p>The list of answer options has been expanded to include the following:</p> <ul style="list-style-type: none"> <li><i>Ethical recruiting</i></li> <li><i>Women's rights</i></li> <li><i>Diversity, Equity and Inclusion</i></li> <li><i>Rights of Minorities and Indigenous Peoples</i></li> <li><i>Land, Forest and Water Rights and Forced Eviction</i></li> <li><i>Use of Private or Public Security Forces</i></li> <li><i>Financial responsibility (Accurate Records)</i></li> <li><i>Disclosure of Information</i></li> <li><i>Counterfeit parts</i></li> <li><i>Intellectual property</i></li> <li><i>Export controls and economic sanctions</i></li> <li><i>Decarbonisation</i></li> <li><i>Water quality, consumption &amp; management</i></li> <li><i>Reuse and recycling</i></li> <li><i>Animal welfare</i></li> <li><i>Biodiversity, land use and deforestation</i></li> <li><i>Soil quality</i></li> <li><i>Noise emissions</i></li> <li><i>Definition and implementation of similar standards towards own tier-1 suppliers</i></li> <li><i>Binding requirements towards Tier-1 suppliers to pass on standards along the supply chain</i></li> </ul> <p>The answer option of 'Corruption, extortion and bribery' in SAQ 4.0 is now 'Anti-Corruption and Anti-Money Laundering' in SAQ 5.0 The answer option of 'Privacy' in SAQ 4.0 is now 'Data Protection and Data Security' in SAQ 5.0</p>
	15b	Does your company use any of the following channels to communicate its Supplier CSR/Sustainability requirements to your suppliers?			18b	Does your company use any of the following channels to communicate its Supplier CSR/Sustainability requirements to your suppliers? Please tick all that apply.	
	15c	Which processes does your company have in place to review if suppliers fulfil your sustainability requirements?			18c	Which processes does your company have in place to review if suppliers fulfil your sustainability requirements? Please tick all that apply.	
			NEW QUESTION		19	Does your company perform sustainability risk assessment as part of the due diligence activities?	
			NEW QUESTION		19a	What is the scope of the risk assessment? Please tick all that apply.	
			NEW QUESTION		19b	How often does your company conduct risk assessment?	
H. RESPONSIBLE SOURCING OF RAW MATERIALS				G. RESPONSIBLE SOURCING OF RAW MATERIALS			
	16	Are any of the following materials contained in your products? (Tick all that apply)	MAJOR		20	Are any of the following materials contained in your products? Please tick all that apply.	<p>The list of answer options has been expanded to include the following:</p> <ul style="list-style-type: none"> <li><i>Chromium</i></li> <li><i>Cotton</i></li> <li><i>Magnesium</i></li> <li><i>Manganese</i></li> <li><i>Molybdenum</i></li> <li><i>Niobium</i></li> <li><i>Platinum</i></li> <li><i>Rhodium</i></li> </ul>
	16a	Does your company have a policy for the responsible sourcing of these raw materials?			20a	Does your company have a policy for the responsible sourcing of these raw materials?	
			NEW QUESTION		20a.1	Which of the following materials are covered by this policy? Please tick all that apply.	
			NEW QUESTION		20b	Does your company participate in raw material specific initiative(s)?	
	16b	Has your company already uploaded a company-scope Conflict Minerals Reporting Template (CMRT) on the SupplierAssurance platform?	MINOR		20c	Does your company have a company-scope Conflict Minerals Reporting Template (CMRT)?	The question has been reworded but fulfills the same purpose
	16c	Please select a CMRT to be attached to and shared with this SAQ.	QUESTION REMOVED				
			NEW QUESTION		20d	Does your company have a company-scope Extended Minerals Reporting Template (EMRT)?	
	16d	Has your company already uploaded a company-scope Cobalt Reporting Template (CRT) on the SupplierAssurance platform?	QUESTION REMOVED				
	16e	Please select a CRT to be attached to and shared with this SAQ.	QUESTION REMOVED				
			NEW QUESTION		21	Does your company have a responsible sourcing raw materials management system or undertake supply chain mapping?	
J. ADDITIONAL INFORMATION				H. ADDITIONAL INFORMATION			
	17	Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.).			22	Please use the space below to provide additional information (e.g. comments regarding policy, timing for certification, etc.).	